



RID High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.1	General	A RID shall be an eight-digit number.		Deliverable 123.1.25	1.1	RID
2.1.1.2	General	A RID shall have no inferable meaning, other than identifying a single entity.		Deliverable 123.1.25	1.2	RID
2.1.1.3	General	RID numbers are permanent and shall be protected from physical deletion once assigned.	RIDs may be logically deleted by expiring all Trading Partner roles related to the RIDs.	Deliverable 123.1.25	1.3	RID
2.1.1.4	General	A newly generated RID shall not conflict with any existing or future OPEIDs.		Deliverable 123.1.25	1.4	RID
2.1.1.5	General	The solution shall the following types of Trading Partners: Schools, School Servicers, Lenders, Lender Servicers, Guaranty Agencies (GAs), State Agencies, Private Collection Agencies (PCAs), Federal Agencies, Accrediting Agencies, Auditors, and Owners.		Deliverable 123.1.25	1.5	RID
2.1.1.6	General	The solution shall support any other type of Trading Partner if necessary in future phases.	The solution should be able to handle generating a RID for a Software Developer or any other type of Trading Partner not yet accounted for if necessary.	Deliverable 123.1.25	1.6	RID
2.1.1.7	General	The solution shall to allow for the import of external files.	This is necessary to obtain external IDs such as the DUNS, TIN, and IPEDS numbers.	Deliverable 123.1.25	1.7	RID
2.1.1.8	General	The solution shall support the trends that are changing the Trading Partner landscape such as virtual campuses, on-line and distance learning, foreign school locations, school lenders, etc.	The business rules for how to treat these entities must be laid out by FSA but the solution must be flexible enough to support the outcome no matter what it is.	Deliverable 123.1.25	1.8	RID
2.1.1.9	General	The solution shall adhere to the business rules of the Integrated Partner Management (IPM) Solution.	These business rules will need to be documented as the IPM Solution is designed.	Deliverable 123.1.25	1.9	RID
2.1.1.10	General	The solution must be integrated with the FSA technical architecture, conform to FSA security standards, and support FSA Security Architecture components such as Access Management.		Deliverable 123.1.25	1.10	RID
2.1.1.11	Initial Load & Start Up, ID synchronization	The RID team shall capture extracts from legacy solutions (i.e., PEPS, COD, FMS, NSLDS, CPS, GAPS, CSB, eZ-Audit, eCB, PM, SAIG, Data Marts) containing the legacy identifiers within the solutions.		Deliverable 123.1.25	2.1.1	RID
2.1.1.12	Initial Load & Start Up, ID synchronization	The solution shall compare legacy solution extract files to PEPS to identify OPEID matches.	This process needs to include a comparison of each legacy solution extract file against the PEPS extract file.	Deliverable 123.1.25	2.1.2	RID
2.1.1.13	Initial Load & Start Up, ID synchronization	The solution shall write out OPEIDs for which no match is found from legacy solution extract file to PEPS extract file to an error report.		Deliverable 123.1.25	2.1.3	RID
2.1.1.14	Initial Load & Start Up, ID synchronization	The solution shall write out successful legacy solution extract file to PEPS extract file matches upon completion of the match process to an error report.		Deliverable 123.1.25	2.1.4	RID
2.1.1.15	Initial Load & Start Up, ID synchronization	The solution shall compare Common School IDs within the COD extract file to identify and consolidate duplicates.		Deliverable 123.1.25	2.1.5	RID
2.1.1.16	Initial Load & Start Up, ID synchronization	The solution shall write out duplicate Common School IDs to an error report.		Deliverable 123.1.25	2.1.6	RID
2.1.1.17	Initial Load & Start Up, ID synchronization	The solution shall compare LIDs within the FMS extract file to identify and consolidate duplicates and modify LIDs to meet RID length requirements*.	*This comparison will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.1.7	RID
2.1.1.18	Initial Load & Start Up, ID synchronization	The solution shall write out duplicate LIDs to an error report.		Deliverable 123.1.25	2.1.8	RID
2.1.1.19	Initial Data Load	The solution shall accept the Common School IDs assigned by COD as the RID.	The Common School IDs from COD will only be added after a data clean up effort has occurred.	Deliverable 123.1.25	2.2.1	RID



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2.1.1.20	Initial Data Load	The solution shall store the Common School ID as the RID key.		Deliverable 123.1.25	2.2.2	RID
2.1.1.21	Initial Data Load	The solution shall allow Schools that have had their Common School ID accepted as the RID to bypass the RID generation logic.		Deliverable 123.1.25	2.2.3	RID
2.1.1.22	Initial Data Load	The solution shall enable key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be added to the database for the newly assigned RIDs for the Schools from COD.	Relationships to be added include the existing tier one/tier two relationships between main and additional locations and grouping relationships such as PEPS School groups.	Deliverable 123.1.25	2.2.4	RID
2.1.1.23	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Schools from COD.		Deliverable 123.1.25	2.2.5	RID
2.1.1.24	Initial Data Load	The solution shall accept the modified LIDs (i.e., with leading and/or trailing zeros) assigned by FMS as the RID*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros. The modified LIDs (i.e., with leading and/or trailing zeros) will only be added after a data clean up effort has occurred.	Deliverable 123.1.25	2.2.6	RID
2.1.1.25	Initial Data Load	The solution shall store the modified LID (i.e., with leading and/or trailing zeros) as the RID key*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.7	RID
2.1.1.26	Initial Data Load	The solution shall allow Lenders that have had their modified LIDs (i.e., with leading and/or trailing zeros) accepted as the RID to bypass the RID generation logic*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.8	RID
2.1.1.27	Initial Data Load	The solution shall enable key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be added to the database for the newly assigned RIDs for the Lenders from FMS*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros. Relationships to be added include the existing customer/supplier relationships between Lenders and Lender Servicers and grouping relationships such as Lender Parent groups.	Deliverable 123.1.25	2.2.9	RID
2.1.1.28	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Lenders from FMS*.	*This process will only occur if it is decided that it is necessary to convert the existing six-digit LIDs to eight-digit RIDs by adding leading or trailing zeros.	Deliverable 123.1.25	2.2.10	RID
2.1.1.29	Initial Data Load	The solution shall detect an OPEID that is not currently assigned a RID.		Deliverable 123.1.25	2.2.11	RID
2.1.1.30	Initial Data Load	The solution shall generate a new RID for all existing Trading Partners that do not currently have a RID.		Deliverable 123.1.25	2.2.12	RID
2.1.1.31	Initial Data Load	The solution shall enable key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be added to the database for the newly assigned RIDs for the existing Trading Partners that did not have a RID.		Deliverable 123.1.25	2.2.13	RID
2.1.1.32	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be added to the database for the newly assigned RIDs for the Trading Partners that did not have a RID.		Deliverable 123.1.25	2.2.14	RID
2.1.1.33	Initial Data Load	The solution shall allow a RID to be manually generated for a Trading Partner by an FSA approved staff member.	Security around determining who will be approved needs to be determined as the IPM is developed.	Deliverable 123.1.25	2.2.15	RID
2.1.1.34	Initial Data Load	The solution shall allow key attributes such as the associated role code(s), legacy identifier code(s), and relationship code(s) to be manually added to the database for the newly assigned RIDs manually added to the database by an FSA approved staff member.		Deliverable 123.1.25	2.2.16	RID



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2.1.1.35	Initial Data Load	The solution shall enable non-key attributes such as Trading Partner name to be manually added to the database for the newly assigned RIDs manually added to the database by an FSA approved staff member.		Deliverable 123.1.25	2.2.17	RID
2.1.1.36	Initial Data Load	The solution shall store an effective date to preserve an audit trail and maintain a history of relationships between an entity's RID and its legacy identifiers starting at the date of implementation.	The RID design is not dependent on re-establishing history. A Trading Partner's history will not typically be re-constructed but this can be done on a case by case basis if deemed necessary. During the initial RID build, the default will be that the current Trading Partner ID values and relationships have always been effective unless a more specific history is established.	Deliverable 123.1.25	2.2.18	RID
2.1.1.37	Initial Data Load	The solution shall write out successfully added RIDs, related role(s), legacy identifier(s), and relationship(s) for all Trading Partners added to the database during the initial load to an audit report.		Deliverable 123.1.25	2.2.19	RID
2.1.1.38	Initial Data Load	The solution shall write out RIDs, related role(s), legacy identifier(s), and relationship(s) for Trading Partners that could not be successfully added to the database during initial load to an error report and include the reason for the error(s).		Deliverable 123.1.25	2.2.20	RID
2.1.1.39	Validation/Determination of Request	The solution shall accept a request for a new RID entity to be created or an existing RID entity to be updated.	This request will be triggered automatically during Enrollment, or Recertification or manually by an FSA approved staff member.	Deliverable 123.1.25	3.1.1	RID
2.1.1.40	Validation/Determination of Request	The solution shall determine whether the request is a Change of Affiliation.		Deliverable 123.1.25	3.1.2	RID
2.1.1.41	Validation/Determination of Request	The solution shall determine the type of Trading Partner the request is coming from and verify that the appropriate information for that type of Trading Partner is included within the request if the request is not a Change of Affiliation request.		Deliverable 123.1.25	3.1.3	RID
2.1.1.42	Validation/Determination of Request	The solution shall reject any request that does not contain the appropriate information and send the request back for additional information.		Deliverable 123.1.25	3.1.4	RID
2.1.1.43	Validation/Determination of Request	The solution shall write out any request for which the appropriate additional information is not received to an error report.		Deliverable 123.1.25	3.1.5	RID
2.1.1.44	Validation/Determination of Request	The solution shall automatically determine if a Trading Partner already exists within the RID database by searching specific information such as the Trading Partner name or existing legacy identifiers.	The intent of this requirement is not to provide an all inclusive list of specific information to search on. Instead, this requirement just points out examples of the type of data that could be used to weed out duplicates.	Deliverable 123.1.25	3.1.6	RID
2.1.1.45	Validation/Determination of Request	The solution shall determine if manual validation is required to determine if a Trading Partner already exists within the RID database if the automatic validation is not conclusive.		Deliverable 123.1.25	3.1.7	RID
2.1.1.46	Validation/Determination of Request	The solution shall write out Trading Partners that need manual validation to determine if they already exist within the RID database to an error report.		Deliverable 123.1.25	3.1.8	RID
2.1.1.47	Change of Affiliation	The solution shall process Location to Location, Location to Freestanding, Merge/Consolidation, Merge/Absorption, and Redesignation Change of Affiliation requests.		Deliverable 123.1.25	3.2.1	RID
2.1.1.48	Change of Affiliation	The solution shall determine if the Trading Partner requesting the Change of Affiliation is a main campus.		Deliverable 123.1.25	3.2.2	RID
2.1.1.49	Change of Affiliation	The solution shall process Changes of Affiliation for a main campus after it has processed any Changes of Affiliation pertaining to additional locations.	Changes must not be made to the main campus until all changes have been made to additional campuses.	Deliverable 123.1.25	3.2.3	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.50	Change of Affiliation	The solution shall enable the modifications necessary to relationships as a result of a Change of Affiliation.		Deliverable 123.1.25	3.2.4	RID
2.1.1.51	Change of Affiliation	The solution shall write successfully handled Change of Affiliation requests to an audit report.		Deliverable 123.1.25	3.2.5	RID
2.1.1.52	Change of Affiliation	The solution shall write Change of Affiliation requests that are not handled successfully to an error report.		Deliverable 123.1.25	3.2.6	RID
2.1.1.53	Modify Existing Trading Partner	The solution shall process modifications to any Trading Partner who is found to already exist within the RID database.	These modifications may be based on information provided by legacy solutions or FSA approved staff.	Deliverable 123.1.25	3.3.1	RID
2.1.1.54	Modify Existing Trading Partner	The solution shall allow the name of a particular Trading Partner to be changed.	As the particular non-key attribute fields are identified the determination needs to be made as to whether each field is updateable or not.	Deliverable 123.1.25	3.3.2	RID
2.1.1.55	Modify Existing Trading Partner	The solution shall allow additional roles to be added to an existing Trading Partner.	Each Trading Partner may only have one role of the same type (i.e., one School role, one Lender role, etc.)	Deliverable 123.1.25	3.3.3	RID
2.1.1.56	Modify Existing Trading Partner	The solution shall allow additional legacy identifiers that correspond to additional roles to be added to an existing Trading Partner entity.		Deliverable 123.1.25	3.3.4	RID
2.1.1.57	Modify Existing Trading Partner	The solution shall allow existing roles to be logically deleted from a Trading Partner entity through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.5	RID
2.1.1.58	Modify Existing Trading Partner	The solution shall allow existing legacy identifiers that correspond to existing roles that are logically deleted to be logically deleted through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.6	RID
2.1.1.59	Modify Existing Trading Partner	The solution shall allow existing relationships that correspond to existing roles that are logically deleted to be logically deleted through the use of effective dating (i.e., an end date).		Deliverable 123.1.25	3.3.7	RID
2.1.1.60	Modify Existing Trading Partner	The solution shall permit the indefinite maintenance of legacy identifiers so as to enable updates/corrections to be made when necessary.		Deliverable 123.1.25	3.3.8	RID
2.1.1.61	Modify Existing Trading Partner	The solution shall maintain the integrity of a relationship between RID and an entity regardless of changes in roles or legacy identifiers.		Deliverable 123.1.25	3.3.9	RID
2.1.1.62	Modify Existing Trading Partner	The solution shall track the responsibility for how modifications to existing Trading Partners were entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.3.10	RID
2.1.1.63	Modify Existing Trading Partner	The solution shall store an audit trail of modifications to existing Trading Partners.		Deliverable 123.1.25	3.3.11	RID
2.1.1.64	Modify Existing Trading Partner	The solution shall write any modifications to existing Trading Partners to an audit report.		Deliverable 123.1.25	3.3.12	RID
2.1.1.65	Generate/Assign a RID	The solution shall generate a unique RID for any Trading Partner entity requesting a RID that does not already exist within the RID database.		Deliverable 123.1.25	3.4.1	RID
2.1.1.66	Generate/Assign a RID	The solution shall determine if the request is for a main campus for any request coming from a Trading Partner that is a School.		Deliverable 123.1.25	3.4.2	RID
2.1.1.67	Generate/Assign a RID	The solution shall determine if there is a corresponding main campus if the request is not for a main campus for any request coming from a Trading Partner that is a School.		Deliverable 123.1.25	3.4.3	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.68	Generate/ Assign a RID	The solution shall write any requests to generate a RID for a campus that is not the main campus where there is no corresponding main campus within the database to an error report.		Deliverable 123.1.25	3.4.4	RID
2.1.1.69	Generate/ Assign a RID	The solution shall generate a unique RID for each grouping (logical, non-hierarchical) relationship defined.		Deliverable 123.1.25	3.4.5	RID
2.1.1.70	Generate/ Assign a RID	The solution shall check any newly generated RID before it is assigned against existing RIDs within the database to ensure the newly assigned RID is unique.		Deliverable 123.1.25	3.4.6	RID
2.1.1.71	Generate/ Assign a RID	The solution shall correct a misassigned or duplicate RID.		Deliverable 123.1.25	3.4.7	RID
2.1.1.72	Generate/ Assign a RID	The solution shall post/store assigned RIDs as key attributes in the database.		Deliverable 123.1.25	3.4.8	RID
2.1.1.73	Generate/ Assign a RID	The solution shall load non-key attributes (e.g., Trading Partner name) for each Trading Partner under their newly assigned RID.		Deliverable 123.1.25	3.4.9	RID
2.1.1.74	Generate/ Assign a RID	The solution shall post/store non-key attributes (e.g., Trading Partner name) for each Trading Partner under their newly assigned RID.		Deliverable 123.1.25	3.4.10	RID
2.1.1.75	Generate/ Assign a RID	The solution shall track the date a Trading Partner will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.4.11	RID
2.1.1.76	Generate/ Assign a RID	The solution shall track how each Trading Partner was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.4.12	RID
2.1.1.77	Assign Trading Partner Role(s)	The solution shall determine if a particular Trading Partner has any related Trading Partner roles (i.e., School, School Servicer, Lender, Lender Servicer, Guaranty Agency, etc.).		Deliverable 123.1.25	3.5.1	RID
2.1.1.78	Assign Trading Partner Role(s)	The solution shall post/store role codes as key attributes in the database.		Deliverable 123.1.25	3.5.2	RID
2.1.1.79	Assign Trading Partner Role(s)	The solution shall load non-key attributes (e.g., Trading Partner role name) for each Trading Partner under their newly assigned role code.		Deliverable 123.1.25	3.5.3	RID
2.1.1.80	Assign Trading Partner Role(s)	The solution shall post/store non-key attributes (e.g., Trading Partner role name) for each Trading Partner under their newly assigned role code.		Deliverable 123.1.25	3.5.4	RID
2.1.1.81	Assign Trading Partner Role(s)	The solution shall track the date a Trading Partner role will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.5.5	RID
2.1.1.82	Assign Trading Partner Role(s)	The solution shall track the responsibility for how each Trading Partner role code was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.5.6	RID
2.1.1.83	Assign Trading Partner Role(s)	The solution shall indicate whether a particular Trading Partner role has a relationship with any other Trading Partner role.	This should be done to in order to make querying on the DB faster. If there is an indicator of some sort saying that the role has no relationships with other roles then there is no need to search for information on relationships thereby saving time.	Deliverable 123.1.25	3.5.7	RID
2.1.1.84	Assign Trading Partner Role(s)	The solution shall write any requests to add duplicate roles to the same Trading Partner entity to an error report.	Each Trading Partner may only have one role of the same type (i.e., one School role, one School Servicer role, one Lender role, one Lender servicer role, etc.)	Deliverable 123.1.25	3.5.8	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.85	Assign Trading Partner Legacy Identifier(s)	The solution shall trigger the legacy identifier creation process to generate corresponding legacy identifiers for each Trading Partner role that is added to the database for a particular Trading Partner.		Deliverable 123.1.25	3.6.1	RID
2.1.1.86	Assign Trading Partner Legacy Identifier(s)	The solution shall store relationships between legacy identifiers and RID bearing entities.		Deliverable 123.1.25	3.6.2	RID
2.1.1.87	Assign Trading Partner Legacy Identifier(s)	The solution shall post/store legacy identifier type codes as key attributes in the database.		Deliverable 123.1.25	3.6.3	RID
2.1.1.88	Assign Trading Partner Legacy Identifier(s)	The solution shall load non-key attributes (e.g., legacy identifier) for each Trading Partner under their newly assigned legacy identifier type code.		Deliverable 123.1.25	3.6.4	RID
2.1.1.89	Assign Trading Partner Legacy Identifier(s)	The solution shall post/store non-key attributes (e.g., legacy identifier) for each Trading Partner under their newly assigned legacy identifier type code.		Deliverable 123.1.25	3.6.5	RID
2.1.1.90	Assign Trading Partner Legacy Identifier(s)	The solution shall track the date a Trading Partner legacy identifier type code will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	3.6.6	RID
2.1.1.91	Assign Trading Partner Legacy Identifier(s)	The solution shall track the responsibility for how each Trading Partner role code was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	3.6.7	RID
2.1.1.92	Assign Trading Partner Legacy Identifier(s)	The solution shall write newly added Trading Partners to an audit report along with their corresponding RIDs, roles, and legacy identifiers.		Deliverable 123.1.25	3.6.8	RID
2.1.1.93	Assign Trading Partner Legacy Identifier(s)	The solution shall write Trading Partners that could not be added to the RID database to an error report including the reason for the error.		Deliverable 123.1.25	3.6.9	RID
2.1.1.94	Assign & Maintain Relationships, General	The solution shall establish relationships between the role(s) of particular Trading Partners rather than between the Trading Partners themselves.		Deliverable 123.1.25	4.1.1	RID
2.1.1.95	Assign & Maintain Relationships, General	The solution shall allow a single role of a Trading Partner to be involved in multiple relationships with roles of other Trading Partners as long as the relationship types are distinct.		Deliverable 123.1.25	4.1.2	RID
2.1.1.96	Assign & Maintain Relationships, General	The solution shall end a relationship if one or both of the participating roles are terminated (i.e., contain an end date that has passed).		Deliverable 123.1.25	4.1.3	RID
2.1.1.97	Assign & Maintain Relationships, General	The solution shall create hierarchical relationships of multiple layers.		Deliverable 123.1.25	4.1.4	RID
2.1.1.98	Assign & Maintain Relationships, General	The solution shall track that an absorption has occurred as a result of an Absorption Change of Affiliation.		Deliverable 123.1.25	4.1.5	RID
2.1.1.99	Assign & Maintain Relationships, General	The solution shall track that a particular Trading Partner role has split from a Trading Partner as a result of a Role to Freestanding Change of Affiliation.		Deliverable 123.1.25	4.1.6	RID
2.1.1.100	Assign & Maintain Grouping Relationships	The solution shall enable grouping (logical, non-hierarchical) relationships to be established based on particular user defined criteria supplied by an FSA approved staff member.		Deliverable 123.1.25	4.2.1	RID
2.1.1.101	Assign & Maintain Grouping Relationships	The solution shall post/store both RIDs involved in the grouping (logical, non-hierarchical) relationship, the related role codes, and the relationship type code as key attributes in the database.		Deliverable 123.1.25	4.2.2	RID



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2.1.1.102	Assign & Maintain Grouping Relationships	The solution shall post/store grouping (logical, non-hierarchical) relationships of RID bearing entities.		Deliverable 123.1.25	4.2.3	RID
2.1.1.103	Assign & Maintain Grouping Relationships	The solution shall load non-key attributes for each grouping (logical, non-hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.2.4	RID
2.1.1.104	Assign & Maintain Grouping Relationships	The solution shall post/store non-key attributes for each grouping (logical, non-hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.2.5	RID
2.1.1.105	Assign & Maintain Grouping Relationships	The solution shall track the date a grouping (logical, non-hierarchical) relationship will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	4.2.6	RID
2.1.1.106	Assign & Maintain Grouping Relationships	The solution shall track the responsibility for how each grouping (logical, non-hierarchical) relationship was entered into the solution (i.e., manual request from an FSA approved staff member).		Deliverable 123.1.25	4.2.7	RID
2.1.1.107	Assign & Maintain Grouping Relationships	The solution shall un-assign or alter grouping (logical, non-hierarchical) relationships.	Grouping (logical, non-hierarchical) relationships will stay completely dynamic so that RID bearing entities associated by that relationship can be disassociated, replaced, or added in any way at any time.	Deliverable 123.1.25	4.2.8	RID
2.1.1.108	Assign & Maintain Grouping Relationships	The solution shall effective date grouping (logical, non-hierarchical) relationships so as to deactivate a specific entity when required by FSA approved staff.		Deliverable 123.1.25	4.2.9	RID
2.1.1.109	Assign & Maintain Grouping Relationships	The solution shall maintain a history of grouping (logical, non-hierarchical) relationship changes and be capable of identifying grouping (logical, non-hierarchical) relationships at various points in time.		Deliverable 123.1.25	4.2.10	RID
2.1.1.110	Assign & Maintain Grouping Relationships	The solution shall only be limited in its creation of RID bearing entities for the purposes of creating grouping (logical, non-hierarchical) relationships by the maximum allowed as an eight-digit number.		Deliverable 123.1.25	4.2.11	RID
2.1.1.111	Assign & Maintain Grouping Relationships	The solution shall assign a particular Trading Partner role to an infinite number of grouping (logical, non-hierarchical) relationships.		Deliverable 123.1.25	4.2.12	RID
2.1.1.112	Assign & Maintain Grouping Relationships	The solution shall write successfully created grouping (logical, non-hierarchical) relationships to an audit report.		Deliverable 123.1.25	4.2.13	RID
2.1.1.113	Assign & Maintain Grouping Relationships	The solution shall write any errors when creating grouping (logical, non-hierarchical) relationships to an error report.		Deliverable 123.1.25	4.2.14	RID
2.1.1.114	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall enable tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be systematically established based on information received during the enrollment or recertification processes.	Tier one/tier two relationships are also known as parent/child relationships.	Deliverable 123.1.25	4.3.1	RID
2.1.1.115	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall enable tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be manually established based on information supplied by an FSA approved staff member.		Deliverable 123.1.25	4.3.2	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.116	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall post/store both RIDs involved in the tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship, the related role codes, and the relationship type code as key attributes in the database.		Deliverable 123.1.25	4.3.3	RID
2.1.1.117	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall post/store tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships of RID bearing entities.		Deliverable 123.1.25	4.3.4	RID
2.1.1.118	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall load non-key attributes for each tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.3.5	RID
2.1.1.119	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall post/store non-key attributes for each tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship under their newly assigned relationship code.		Deliverable 123.1.25	4.3.6	RID
2.1.1.120	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall track the date a tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship will become active (i.e., effective date) through the use of effective dating.		Deliverable 123.1.25	4.3.7	RID
2.1.1.121	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall track the responsibility for how each tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationship was entered into the solution (i.e., systematic request through Enrollment or Recertification or manual request from an FSA approved staff member).		Deliverable 123.1.25	4.3.8	RID
2.1.1.122	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall un-assign or alter tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships.		Deliverable 123.1.25	4.3.9	RID
2.1.1.123	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall effective date tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships so as to deactivate a specific entity when required by FSA approved staff.		Deliverable 123.1.25	4.3.10	RID
2.1.1.124	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall create a new tier one entity at the top of an existing tier one/tier two hierarchy.		Deliverable 123.1.25	4.3.11	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.125	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall maintain a history of tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships changes and be capable of identifying tier 1/tier 2 (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships at various points in time.		Deliverable 123.1.25	4.3.12	RID
2.1.1.126	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall write successfully created tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an audit log.		Deliverable 123.1.25	4.3.13	RID
2.1.1.127	Assign & Maintain tier one/tier two, customer/supplier or ownership relationships	The solution shall write any errors when creating tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an error report.		Deliverable 123.1.25	4.3.14	RID
2.1.1.128	Communicate RID Data	The solution shall maintain a cross reference table of RIDs to legacy identifiers that enables the translation of a legacy identifier into a RID and vice versa.	This table will have to be maintained until internal FSA solutions and external partners are communicating utilizing only the RID.	Deliverable 123.1.25	5.1	RID
2.1.1.129	Communicate RID Data	The solution shall communicate the assigned RIDs, their role(s), and the relationships related to each role(s) to internal parties (i.e., Trading Partner Enrollment process, legacy solutions, FSA approved staff members, etc.) requiring such information.	Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.2	RID
2.1.1.130	Communicate RID Data	The solution shall communicate the assigned RIDs, their role(s), and the relationships related to each role(s) to external parties requiring such information.	Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.3	RID
2.1.1.131	Communicate RID Data	The solution shall allow for the integration with existing legacy solutions to push and pull information to and from them when necessary.		Deliverable 123.1.25	5.4	RID
2.1.1.132	Communicate RID Data	The solution shall support ongoing data synchronization and integrity validations.	This synchronization will be necessary until those legacy identifiers that are marked for retirement are retired and the IPM is steward of all Trading Partner legacy identifier information. Such information will be stored within the common database of all Trading Partner related data (i.e., the Common Data Architecture).	Deliverable 123.1.25	5.5	RID
2.1.1.133	User Interface	The solution shall allow FSA approved staff members to request to add new/update existing Trading Partners via a user interface.		Deliverable 123.1.25	6.1	RID
2.1.1.134	User Interface	The solution shall allow FSA approved staff members to request to assign/maintain relationships between the roles of existing Trading Partner entities.	Approved FSA staff members will play a major role in the creation and maintenance of grouping relationships.	Deliverable 123.1.25	6.2	RID
2.1.1.135	User Interface	The solution shall store information on who updated a particular Trading Partner record (i.e., user id, information source, etc.).	This will be necessary should questions arise with the updates that were made.	Deliverable 123.1.25	6.3	RID
2.1.1.136	User Interface	The solution shall allow FSA approved staff members to run ad hoc queries based on Trading Partner attributes or other user defined criteria.		Deliverable 123.1.25	6.4	RID
2.1.1.137	User Interface	The solution shall write out the results of ad hoc queries related to Trading Partner attributes or other user defined criteria an audit report.		Deliverable 123.1.25	6.5	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.138	User Interface	The solution shall provide a graphical representation of the relevant role and related relationships information for a particular RID entity.		Deliverable 123.1.25	6.6	RID
2.1.1.139	User Interface	The solution shall allow ad hoc queries of grouping (logical, non-hierarchical) relationships by FSA approved staff.		Deliverable 123.1.25	6.7	RID
2.1.1.140	User Interface	The solution shall write out the results of ad hoc queries related to grouping (logical, non-hierarchical) relationships to an audit report.		Deliverable 123.1.25	6.8	RID
2.1.1.141	User Interface	The solution shall allow ad hoc queries of tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships by FSA approved staff.		Deliverable 123.1.25	6.9	RID
2.1.1.142	User Interface	The solution shall write out the results of ad hoc queries related to tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to an audit report.		Deliverable 123.1.25	6.10	RID
2.1.1.143	User Interface	The solution shall provide current views of relationships.		Deliverable 123.1.25	6.11	RID
2.1.1.144	Generate Reports, ID Synchronization	The solution shall generate an error report containing OPEIDs for which no match is found from legacy solution extract file to PEPS extract file that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.1	RID
2.1.1.145	Generate Reports, ID Synchronization	The solution shall generate an audit report containing successful legacy solution extract file to PEPS extract file matches upon completion of the match process that will be used for tracking purposes.		Deliverable 123.1.25	7.1.2	RID
2.1.1.146	Generate Reports, ID Synchronization	The solution shall generate an error report containing duplicate Common School IDs that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.3	RID
2.1.1.147	Generate Reports, ID Synchronization	The solution shall generate an error report containing duplicate LIDs that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.1.4	RID
2.1.1.148	Generate Reports, Initial Data Load	The solution shall generate an audit report containing successfully added RIDs, related role(s), legacy identifier(s), and relationship(s) for all Trading Partners added to the database during the initial load that will be used for tracking purposes.		Deliverable 123.1.25	7.2.1	RID
2.1.1.149	Generate Reports, Initial Data Load	The solution shall generate an error report containing RIDs, related role(s), legacy identifier(s), and relationship(s) for those Trading Partners that could not be successfully added to the database during initial load that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.2.2	RID
2.1.1.150	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing successfully handled change of affiliation requests that will be used for tracking purposes.		Deliverable 123.1.25	7.3.1	RID
2.1.1.151	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing those Change of Affiliation requests that were not handled successfully that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.2	RID
2.1.1.152	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any request for which the appropriate additional information is not received that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.3	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.153	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing Trading Partners that need manual validation to determine if they already exist within the RID database that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.4	RID
2.1.1.154	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing any modifications to existing Trading Partners during a specific period that will be used for tracking purposes.		Deliverable 123.1.25	7.3.5	RID
2.1.1.155	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any requests to generate a RID for a campus that is not the main campus where there is no corresponding main campus within the database that will be manually reviewed or worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.6	RID
2.1.1.156	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing any requests to add duplicate roles to the same Trading Partner that will be manually reviewed and worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.7	RID
2.1.1.157	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an audit report containing newly added Trading Partners, their corresponding RIDs, roles, and legacy identifiers that will be used for tracking purposes.		Deliverable 123.1.25	7.3.8	RID
2.1.1.158	Generate Reports, Add New/Modify Existing Trading Partner	The solution shall generate an error report containing Trading Partners that could not be added to the RID database that will be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.3.9	RID
2.1.1.159	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report containing successfully created grouping (logical, non-hierarchical) relationships that will be used for tracking purposes.		Deliverable 123.1.25	7.4.1	RID
2.1.1.160	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an error report containing grouping (logical, non-hierarchical) relationships that were not successfully created that will be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.4.2	RID
2.1.1.161	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report every specified number of days/months containing information on the date each grouping (logical, non-hierarchical) relationship was last updated/last maintained.		Deliverable 123.1.25	7.4.3	RID
2.1.1.162	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generate an audit report containing successfully created tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.4.4	RID
2.1.1.163	Generate Reports, Assign & Maintain Grouping Relationships	The solution shall generating an error report containing tier one/ tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships that were not successfully created to be reviewed and manually worked as necessary.	This report must also contain the reason for the error(s).	Deliverable 123.1.25	7.4.5	RID
2.1.1.164	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to Trading Partner attributes or other user defined criteria that will be used for tracking purposes.		Deliverable 123.1.25	7.5.1	RID
2.1.1.165	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to grouping (logical, non-hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.5.2	RID



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.1.166	Generate Reports, User Interface	The solution shall generate an audit report containing the results of ad hoc queries related to tier one/tier two (physical, hierarchical), customer/supplier (physical, hierarchical or non-hierarchical), or ownership (physical, hierarchical) relationships to be used for tracking purposes.		Deliverable 123.1.25	7.5.3	RID



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.1	Risk Indicators/New Risk Model	The existing risk model shall be replaced with a new risk model that can clearly identify schools at risk.	N/A		Deliverable 127.1.2	2.1.1	eCMO
2.1.2.2	Risk Indicators/New Risk Model	Definition of risk indicators for the new risk model shall be coordinated with the Verification Review project.	N/A		Deliverable 127.1.2	2.1.2	eCMO
2.1.2.3	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to access all current school-related data, including data currently stored in PEPS/CMIS, EZ-Audit, eCB, CPS, GAPS, NSLDS, COD, RFMS, FISAP, Acorde, IPEDS/CORE, receivables, and Direct Lending. The risk model must re-assess risk indicators as often as the source data is updated.	N/A		Deliverable 127.1.2	2.1.3	eCMO
2.1.2.4	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to contain the appropriate risk factors to identify at risk schools.	N/A		Deliverable 127.1.2	2.1.4	eCMO
2.1.2.5	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool that includes the risk indicators on the Eligibility and Compliance Management Risk Indicators spreadsheet.	N/A		Deliverable 127.1.2	2.1.5	eCMO
2.1.2.6	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool that includes non-submission of required reports as risk indicators, including applications, audits and financial statements, SSCR, FISAP, transfer monitoring, reconciliation reports, IPEDS, crime reporting, etc.	N/A		Deliverable 127.1.2	2.1.6	eCMO
2.1.2.7	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to assess the risk indicators in combination to identify schools at risk.	N/A		Deliverable 127.1.2	2.1.7	eCMO
2.1.2.8	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool where factors and factor weighting of the risk model shall be able to be changed periodically as new data becomes available, regulations change, new trends evolve, etc.	N/A		Deliverable 127.1.2	2.1.8	eCMO
2.1.2.9	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to assess risk for foreign schools.	N/A		Deliverable 127.1.2	2.1.9	eCMO
2.1.2.10	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to identify risk across schools with common ownership, auditor, etc. However, the risk model must also assess risk separately for each school in a group.	N/A		Deliverable 127.1.2	2.1.10	eCMO
2.1.2.11	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool to which does not store data used to calculate risk indicators.	N/A		Deliverable 127.1.2	2.1.11	eCMO
2.1.2.12	Risk Indicators/New Risk Model	The solution shall utilize a risk model tool where factors and factor weighting of the risk model shall be able to be specified for various categories (e.g. size of school, type of control, location, etc.).	N/A		Deliverable 127.1.2	2.1.12	eCMO
2.1.2.13	Research	The solution shall utilize a standardized, integrated 'school view' of all information regarding schools. This view must provide a summary level of information with the ability to 'drill down' to detailed information as needed. The solution shall provide standardized data set (i.e., integrated school view) to support decision making.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.1	eCMO
2.1.2.14	Research	The solution shall utilize a 'school view' to provide the ability to view school information across common ownership schools and school groups.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.2	eCMO
2.1.2.15	Research	The solution shall utilize a 'school view' to display real time Title IV funding data, broken out by program, by award year, federal fiscal year and school fiscal year. Current year plus three prior years must be displayed. The school view shall display the reconciliation of funding data from multiple systems (i.e. COD, GAPS, and FMS).	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.3	eCMO



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.16	Research	The solution shall utilize a 'school view' to display real time draw down data for: Pell, FSEOG, Perkins, FWS, Direct Loan by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.4	eCMO
2.1.2.17	Research	The solution shall utilize a 'school view' to display detailed student level disbursement and reconciliation data for: Pell/ Direct Loan.- Sub, Direct Loan - Unsub, Direct Loan - PLUS, by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.5	eCMO
2.1.2.18	Research	The solution shall utilize a 'school view' to display student level disbursement and reconciliation data (currently available in NSLDS) for: FSEOG, Perkins, FWS, FFEL - Sub, FFEL - Unsub, FFEL - PLUS by award, school fiscal and federal fiscal year, for main campus / additional location and primary owner.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.6	eCMO
2.1.2.19	Research	The solution shall utilize an external school view that shall be accessible for schools to view based on access rights. Primary updates shall continue to be maintained through the eAPP tool.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.7	eCMO
2.1.2.20	Research	The solution shall utilize an external school view to provide comparative profile information among schools of the same characteristics.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.8	eCMO
2.1.2.21	Research	The solution shall utilize a school view to maintain historical school data, and display year-to-year trends.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.9	eCMO
2.1.2.22	Research	The solution shall utilize a school view to provide access to the school corporate status.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.10	eCMO
2.1.2.23	Research	The solution shall utilize a school view to provide access to a link to the school's website and e-mail address.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.11	eCMO
2.1.2.24	Research	The solution shall utilize a school view to provide access to information for debarment checks.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.12	eCMO
2.1.2.25	Research	The solution shall utilize a school view to provide access to information regarding student complaints.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist. Data can currently be captured in the notes field.	Deliverable 127.1.2	2.2.13	eCMO
2.1.2.26	Research	The solution shall utilize a school view to provide access to an indicator to reflect multiple simultaneous case activities occurring for a school or group of common ownership schools.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.14	eCMO
2.1.2.27	Research	The solution shall utilize a school view to provide access to all case decisions made for the school.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.15	eCMO
2.1.2.28	Research	The solution shall utilize a school view to provide access to AAA activity and actions.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.16	eCMO
2.1.2.29	Research	The solution shall utilize a school view to provide access to comprehensive school contact information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.17	eCMO



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.30	Research	The solution shall utilize a school view to provide access to guaranty agency information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.18	eCMO
2.1.2.31	Research	The solution shall utilize a school view to provide access to state accrediting agency information.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.19	eCMO
2.1.2.32	Research	The solution shall utilize a school view to provide access to school placement and graduation rates.	Functionality not in PEPS	The school view as described is not currently in PEPS. The data for this requirement is contained within the IPEDS database.	Deliverable 127.1.2	2.2.20	eCMO
2.1.2.33	Research	The solution shall utilize a school view to allow a user to select specific elements of data in the school view to build a chronology.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.21	eCMO
2.1.2.34	Research	The solution shall utilize a school view to access the school view independently of an open case.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.22	eCMO
2.1.2.35	Research	When accessing the school view, response time shall be acceptably fast.	N/A		Deliverable 127.1.2	2.2.23	eCMO
2.1.2.36	Research	The solution shall utilize a school view that is read-only.	Data in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist. This is currently a report that Chris Hill runs manually.	Deliverable 127.1.2	2.2.24	eCMO
2.1.2.37	Research	The solution shall utilize a school view to display information regarding school accounts receivables.	Data not in PEPS	The school view as described is not currently in PEPS. Much of the data exists in PEPS, but the central view does not exist.	Deliverable 127.1.2	2.2.25	eCMO
2.1.2.38	Additional Research / Decision Support	The solution shall utilize a decision support tool to facilitate consistency in decision-making across teams.	Functionality not in PEPS	Current decision support data comes from a number of sources. Some of that data resides in PEPS, but there is no single source of data.	Deliverable 127.1.2	2.3.1	eCMO
2.1.2.39	Additional Research / Decision Support	The solution shall utilize a decision support tool to include all information necessary to support informed decision making.	Functionality not in PEPS	Current decision support data comes from a number of sources. Some of that data resides in PEPS, but there is no single source of data.	Deliverable 127.1.2	2.3.2	eCMO
2.1.2.40	Additional Research / Decision Support	The solution shall utilize a decision support tool to include a database of prior case decisions from all regions. The database shall be searchable by case circumstances / criteria, and shall return decisions made for previous cases with the same or similar circumstances / criteria.	Functionality not in PEPS	Past case decisions and supporting data are most often stored locally at the regions.	Deliverable 127.1.2	2.3.3	eCMO
2.1.2.41	Additional Research / Decision Support	The solution shall utilize a decision support tool with a knowledge base of CMO case-related policy and policy interpretation information.	Functionality not in PEPS	Most of this current data is in the Jeff Baker database.	Deliverable 127.1.2	2.3.4	eCMO
2.1.2.42	Additional Research / Decision Support	The solution shall utilize a decision support tool to provide user-friendly access to guidance from outside entities, such as auditor clarifications, IFAP, OPE, OGC, OHA, GAAP, FASB, GAGAS, GASB, AICPA, Department Secretary, etc.	Functionality not in PEPS	Not data currently contained in or accessed through PEPS.	Deliverable 127.1.2	2.3.5	eCMO
2.1.2.43	Additional Research / Decision Support	The solution shall utilize a decision support tool where information regarding appropriate decisions shall be able to be updated based upon feedback from appeal results or political determinations.	Functionality not in PEPS	Appeal results are input into PEPS, but not the data used to support the changes.	Deliverable 127.1.2	2.3.6	eCMO
2.1.2.44	Additional Research / Decision Support	The solution shall utilize a decision support tool to proactively alert case team staff when new information regarding significant decisions made, actions taken or precedents set is entered into the decision support capability.	Functionality not in PEPS		Deliverable 127.1.2	2.3.7	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.45	Additional Research / Decision Support	The solution shall utilize a decision support tool to allow users to search by data source, topic, key word, and effective date.	Functionality not in PEPS		Deliverable 127.1.2	2.3.8	eCMO
2.1.2.46	Notification	The solution shall utilize a correspondence tool to support system generation of standardized notifications to schools for all notification types for all processes, to promote consistency across teams and regions. Required sections must not be modifiable but non-required sections / unique text can be added by users.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.1	eCMO
2.1.2.47	Notification	The solution shall utilize a correspondence tool to support the ability to automatically insert case-related data (e.g., institution demographic data) into school notifications.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.2	eCMO
2.1.2.48	Notification	The solution shall utilize a correspondence tool to properly format notifications created.	Functionality partially in PEPS	Some of this functionality exists in PEPS, but not for all correspondence.	Deliverable 127.1.2	2.4.3	eCMO
2.1.2.49	Notification	The solution shall utilize a correspondence tool to perform grammar and spell check on system-generated notifications.	Functionality not in PEPS		Deliverable 127.1.2	2.4.4	eCMO
2.1.2.50	Notification	Procedures shall be established to ensure that standard paragraphs / boilerplate used by the correspondence tool are kept up to date.	N/A	This is a policy issue and not a system issue, and therefore not in the current system.	Deliverable 127.1.2	2.4.5	eCMO
2.1.2.51	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to track all CMO work assignments.	Functionality not in PEPS	PEPS does have some workflow capabilities, but the goal of these requirements is to document centralized workflow capabilities required to manage the case teams work.	Deliverable 127.1.2	2.5.1	eCMO
2.1.2.52	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support automatic work assignments based upon staff availability and work type(s) staff is qualified to perform.	Functionality not in PEPS		Deliverable 127.1.2	2.5.2	eCMO
2.1.2.53	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support automatic work assignment, using access to the list of schools within each region.	Data exists in PEPS	Schools within each region are maintained in PEPS.	Deliverable 127.1.2	2.5.3	eCMO
2.1.2.54	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support the ability to easily move staff and schools from region to region.	Data exists in PEPS	These relationships are currently managed in PEPS.	Deliverable 127.1.2	2.5.4	eCMO
2.1.2.55	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support team manual work assignment, including both initial work assignments and override of automatic system work assignments.	Functionality partially in PEPS	Work is currently assigned in PEPS for tasks managed in PEPS. Work is also assigned in eZ-Audit.	Deliverable 127.1.2	2.5.5	eCMO
2.1.2.56	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically alert case team staff when new work has been assigned to them.	Functionality in PEPS	This exists in PEPS for the current work assignment process.	Deliverable 127.1.2	2.5.6	eCMO
2.1.2.57	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool configured to support CMO business rules established regarding staff assignment of work from schools across teams with common ownership and within statewide audits.	Functionality partially in PEPS		Deliverable 127.1.2	2.5.7	eCMO
2.1.2.58	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support the ability for work to be automatically or manually reassigned based upon staff availability changes, workload imbalance and other factors after work has been initially assigned.	Functionality partially in PEPS	Work can be reassigned in PEPS, but there is no current view of workload by case team member to be used in supporting reassignment.	Deliverable 127.1.2	2.5.8	eCMO
2.1.2.59	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support the ability to assign / reassign work across case teams.	Functionality partially in PEPS	Work can be reassigned in PEPS, but there is no current view of workload by case team member to be used in supporting reassignment.	Deliverable 127.1.2	2.5.9	eCMO
2.1.2.60	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically and manually determine and change work priority - based upon due date, work type, work status, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.5.10	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.61	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to route and track all CMO work types.	Functionality not in PEPS		Deliverable 127.1.2	2.5.11	eCMO
2.1.2.62	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically route work to appropriate staff work queues identified by the type of work to be performed.	Functionality in PEPS and eZ-Audit	Some of this functionality exists in both PEPS and eZ-Audit. IPM would likely have a single set of workflow functionality to provide a concise view.	Deliverable 127.1.2	2.5.12	eCMO
2.1.2.63	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support rules-based routing, including definition of rules regarding case circumstances requiring inclusion of those cases in sub team and full team meetings.	Functionality not in PEPS		Deliverable 127.1.2	2.5.13	eCMO
2.1.2.64	Workflow/ Escalation/ Standard Follow-Through	The workflow tool shall provide input to creation of sub team and full team meeting agendas. Meeting agendas must be automatically routed to all meeting participants prior to meetings.	Functionality not in PEPS		Deliverable 127.1.2	2.5.14	eCMO
2.1.2.65	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support rules-based routing, including definition of rules regarding case circumstances requiring escalation of those cases to upper management for review and/or approval.	Functionality not in PEPS		Deliverable 127.1.2	2.5.15	eCMO
2.1.2.66	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support work transactions that start outside of CMO (e.g., FOIA, controlled correspondence requests, etc.). This would allow case teams to know that this work will be routed to them, and will reduce the time involved in transferring work among organizations.	Functionality not in PEPS		Deliverable 127.1.2	2.5.16	eCMO
2.1.2.67	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool configured to electronically route work to and from CMO units outside of case teams, including PIP, AAA, etc.	Functionality partially in PEPS	Groups outside of Case teams are able to add comments in PEPS at times, but are not a formal part of a workflow process.	Deliverable 127.1.2	2.5.17	eCMO
2.1.2.68	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support rules-based routing. Rules shall be defined regarding case circumstances requiring routing of those cases to non-case CMO units and entities outside CMO.	Functionality not in PEPS		Deliverable 127.1.2	2.5.18	eCMO
2.1.2.69	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to allow case team staff to monitor and track work that has been routed to entities outside of case teams.	Functionality not in PEPS		Deliverable 127.1.2	2.5.19	eCMO
2.1.2.70	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to require work that has been routed to entities outside of case teams to be routed back to appropriate case team personnel with information regarding the results of the referral.	Functionality not in PEPS		Deliverable 127.1.2	2.5.20	eCMO
2.1.2.71	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to view the status of transactions in process, by individual, sub-team, team, and across all teams.	Functionality not in PEPS		Deliverable 127.1.2	2.5.21	eCMO
2.1.2.72	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to track critical decision-making milestones, including dates decision made, approval requested, approval received, and final decision made.	Functionality not in PEPS; data exists in PEPS	Approval dates, etc are tracked in PEPS, but not related to workflow and they do not trigger events.	Deliverable 127.1.2	2.5.22	eCMO
2.1.2.73	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to track elapsed time for key performance indicators. This must include overall transaction time (e.g., 45 days for financial statements, 180 days for audits, etc.), and time for transaction milestones (e.g., time from receipt to research complete, time from research complete to decision, time from decision to approval, time from approval to school notification, etc.).	Functionality partially in PEPS	Performance measures are tracked and reported on in PEPS (and eZ-Audit).	Deliverable 127.1.2	2.5.23	eCMO



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Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.74	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to allow the entry and tracking of rule-based work due dates, and provide alerts to remind staff and schools of approaching and missed due dates.	Functionality not in PEPS		Deliverable 127.1.2	2.5.24	eCMO
2.1.2.75	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically track expected responses from schools, and provide automated alerts to the teams and schools if expected responses are not received.	Functionality not in PEPS		Deliverable 127.1.2	2.5.25	eCMO
2.1.2.76	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool with '+D84' collection point' capability (i.e., the ability to test that multiple criteria have been met before the case can proceed).	Functionality not in PEPS		Deliverable 127.1.2	2.5.26	eCMO
2.1.2.77	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support multiple case types.	Functionality not in PEPS		Deliverable 127.1.2	2.5.27	eCMO
2.1.2.78	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to provide the capability for CMO staff to revise workflows, business rules, work access, etc. as changing circumstances require.	Functionality not in PEPS		Deliverable 127.1.2	2.5.28	eCMO
2.1.2.79	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically initiate system functions (e.g. notifications, document archiving in the document management system, automatic alerts, etc) based upon business rules in the workflow.	Functionality not in PEPS		Deliverable 127.1.2	2.5.29	eCMO
2.1.2.80	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to automatically initiate sending of multiple forms of correspondence (e.g., email, fax, letter, etc.) at specific points in a workflow process.	Functionality not in PEPS		Deliverable 127.1.2	2.5.30	eCMO
2.1.2.81	Workflow/ Escalation/ Standard Follow-Through	The solution shall utilize a centralized workflow tool to support the electronic submission of correspondence to schools via email or school gateway. The issue of receipt confirmation must be addressed.	Functionality not in PEPS		Deliverable 127.1.2	2.5.31	eCMO
2.1.2.82	Document / Record Management	The solution shall utilize a document management tool to support scanning of paper documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.1	eCMO
2.1.2.83	Document / Record Management	The solution shall utilize a document management tool to accept input from electronic sources (without requiring electronic information to be printed and then scanned), in addition to accepting scanned paper documents. These sources shall include email, fax, screen prints, computer reports, and electronic documents such as Word, Excel, Adobe, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.6.2	eCMO
2.1.2.84	Document / Record Management	The solution shall utilize a document management tool to support organization of documentation in School File Folders.	Functionality not in PEPS		Deliverable 127.1.2	2.6.3	eCMO
2.1.2.85	Document / Record Management	The solution shall utilize a document management tool within which the documents are linked to the case(s) to which they are related.	Functionality not in PEPS		Deliverable 127.1.2	2.6.4	eCMO
2.1.2.86	Document / Record Management	The solution shall utilize a document management tool that is NARA / DOD5015 compliant to relieve CMO of the requirement to store paper original documents once they are scanned.	Functionality not in PEPS		Deliverable 127.1.2	2.6.5	eCMO
2.1.2.87	Document / Record Management	The solution shall utilize a document management tool to support version control of documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.6	eCMO
2.1.2.88	Document / Record Management	The solution shall utilize a document management tool to store in-process documents in revisable format and final documents in permanent, non-revisable format.	Functionality not in PEPS		Deliverable 127.1.2	2.6.7	eCMO
2.1.2.89	Document / Record Management	The solution shall utilize a document management tool to allow multiple users concurrent access to documents.	Functionality not in PEPS		Deliverable 127.1.2	2.6.8	eCMO



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Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.90	Document / Record Management	The solution shall utilize a document management tool with clear guidelines to define documents that must be kept in the document management system.	Functionality not in PEPS		Deliverable 127.1.2	2.6.9	eCMO
2.1.2.91	Document / Record Management	The solution shall utilize a document management tool to retain work papers from case processes, including reimbursement and program review work papers.	Functionality not in PEPS		Deliverable 127.1.2	2.6.10	eCMO
2.1.2.92	Document / Record Management	The solution shall utilize a document management tool where documents are captured into the document management system as they are received or generated, rather than at the end of each process.	Functionality not in PEPS		Deliverable 127.1.2	2.6.11	eCMO
2.1.2.93	Document / Record Management	The solution shall utilize a document management tool for which clear guidelines are set defining legal document retention requirements for the document/records management system.	Functionality not in PEPS		Deliverable 127.1.2	2.6.12	eCMO
2.1.2.94	Document / Record Management	The solution shall utilize a document management tool for which the resolution of questions and issues regarding document management (e.g., file structure, cost to include documents) requires input from case team staff in addition to DMAD staff.	Functionality not in PEPS		Deliverable 127.1.2	2.6.13	eCMO
2.1.2.95	Management Reporting / Analytics	The solution shall provide the capability to measure the effectiveness of all case decisions / actions in improving school compliance over time, including Program Review, Management Improvement Services, LOC, Heightened Cash Monitoring, Reimbursement, Settlement Agreements, and AAA actions.	Functionality not in PEPS	All reports shall be available in an exportable format to allow further analysis of the data if required.	Deliverable 127.1.2	2.7.1	eCMO
2.1.2.96	Management Reporting / Analytics	The solution shall capture school deficiencies / risk indicators at the time a decision / action is imposed, then measured annually one, two and three years after the action to determine if deficiencies / risk indicators have improved.	Functionality not in PEPS		Deliverable 127.1.2	2.7.2	eCMO
2.1.2.97	Management Reporting / Analytics	The solution shall measure the effectiveness of the new risk model in identifying the population of schools 'at risk'.	Functionality not in PEPS		Deliverable 127.1.2	2.7.3	eCMO
2.1.2.98	Management Reporting / Analytics	The solution shall analyze experience data from use of the new risk model to provide feedback on possible new triggers and changes to or removal of existing risk indicators.	Functionality not in PEPS		Deliverable 127.1.2	2.7.4	eCMO
2.1.2.99	Management Reporting / Analytics	The solution shall analyze trends associated with risk indicators, audit and program review findings. These trends shall be based on geography, school group, year-to-year changes and other factors. Based on the trends, management shall be able to support recommendations for potential new actions.	Functionality not in PEPS		Deliverable 127.1.2	2.7.5	eCMO
2.1.2.100	Management Reporting / Analytics	The solution shall include new management reports, formatted nationally, by team and by specialist.	Functionality not in PEPS		Deliverable 127.1.2	2.7.6	eCMO
2.1.2.101	Management Reporting / Analytics	The solution shall provide the ability for users to run ad hoc management reports on all school data.	Functionality partially in PEPS	There is some level of reporting available in PEPS. This would need to be expanded on.	Deliverable 127.1.2	2.7.7	eCMO
2.1.2.102	Management Reporting / Analytics	The solution shall provide a report inventory of all available reports.	Functionality in PEPS	There is an inventory of all current canned reports available in PEPS. This shall include a description of the logic used to generated the reports.	Deliverable 127.1.2	2.7.8	eCMO
2.1.2.103	Management Reporting / Analytics	The solution shall provide dashboard reports for upper management, by team, function and timeframe.	Functionality not in PEPS		Deliverable 127.1.2	2.7.9	eCMO
2.1.2.104	Management Reporting / Analytics	The solution shall provide an executive dashboard report that summarizes the numbers of transactions performed in all CMO processes.	Functionality not in PEPS		Deliverable 127.1.2	2.7.10	eCMO



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Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.105	Management Reporting / Analytics	The solution shall provide a dashboard monitoring coverage report, indicating the number of schools whose funding CMO monitored via comprehensive review.	Functionality not in PEPS		Deliverable 127.1.2	2.7.11	eCMO
2.1.2.106	Management Reporting / Analytics	The solution shall provide a dashboard compliance report that identifies the percentage of funds misspent.	Functionality not in PEPS		Deliverable 127.1.2	2.7.12	eCMO
2.1.2.107	Management Reporting / Analytics	The solution shall provide a dashboard risk management report that identifies the number of schools and amount of funding at risk.	Functionality not in PEPS		Deliverable 127.1.2	2.7.13	eCMO
2.1.2.108	Management Reporting / Analytics	The solution shall provide a dashboard report that indicates the success of Management Improvement Services for new schools.	Functionality not in PEPS		Deliverable 127.1.2	2.7.14	eCMO
2.1.2.109	Management Reporting / Analytics	The solution shall provide a staffing report that includes vacancies, staff name, grade, functional areas performed and trained in, and system access.	Functionality not in PEPS		Deliverable 127.1.2	2.7.15	eCMO
2.1.2.110	Management Reporting / Analytics	The solution shall provide a workload forecasting report that outlines work due for all transaction types for future time periods by specialist, team and time period.	Functionality not in PEPS		Deliverable 127.1.2	2.7.16	eCMO
2.1.2.111	Management Reporting / Analytics	The solution shall provide reports of transactions not received, including recertification's, audits, and financial statements.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.17	eCMO
2.1.2.112	Management Reporting / Analytics	The solution shall provide current period activity reports for all CMO transactions, showing transactions initiated, in progress and completed - by CMO, team and specialist.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.18	eCMO
2.1.2.113	Management Reporting / Analytics	The solution shall provide productivity reports for all CMO transactions, showing number of transactions projected and worked for current period and previous periods; showing transaction cycle times and backlogs; by CMO, team and specialist.	Functionality partially in PEPS	Reports for this data are split between eZ-Audit and PEPS.	Deliverable 127.1.2	2.7.19	eCMO
2.1.2.114	Management Reporting / Analytics	The solution shall provide monthly AAA productivity reports listing administrative and fine actions, appeals, hearings.	Functionality in PEPS		Deliverable 127.1.2	2.7.20	eCMO
2.1.2.115	Management Reporting / Analytics	The solution shall provide detailed and summary reports of foreign and domestic school eligibility and funding, changes in eligibility, closed schools, audits, financial statements, program reviews, accounts receivable, HCM1, 2, reimbursement, LOCs, default rates and total liabilities.	Functionality in PEPS		Deliverable 127.1.2	2.7.21	eCMO
2.1.2.116	Management Reporting / Analytics	The solution shall provide the capability to run individual school reports, showing all case activity.	Functionality not in PEPS		Deliverable 127.1.2	2.7.22	eCMO
2.1.2.117	Management Reporting / Analytics	The solution shall report on all work types processed through the workflow system - by specialist, sub team, team and CMO; by date range; initiated, in progress and completed.	Functionality not in PEPS		Deliverable 127.1.2	2.7.23	eCMO
2.1.2.118	Management Reporting / Analytics	The solution shall provide work management reports regarding work loads, work progress, throughput, bottlenecks, etc.	Functionality not in PEPS		Deliverable 127.1.2	2.7.24	eCMO
2.1.2.119	Management Reporting / Analytics	The solution shall provide reports on individual staff work performed as input to EDPAS reporting.	Functionality not in PEPS		Deliverable 127.1.2	2.7.25	eCMO
2.1.2.120	Management Reporting / Analytics	The school view shall provide a profile of schools not completing SSCR reporting and or Transfer monitoring and ECDR. The profile shall include the number of schools, the type, dollars the school manages and number of students.	Functionality not in PEPS		Deliverable 127.1.2	2.7.26	eCMO
2.1.2.121	PEPS Re-engineering Requirements	The solution shall provide AAA staff access to the case system (currently CMIS) to input updates on actions.	Functionality in PEPS		Deliverable 127.1.2	8.1.1	eCMO
2.1.2.122	PEPS Re-engineering Requirements	The solution shall add revocation actions to the current system list of action reasons.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.2	eCMO



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Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.123	PEPS Re-engineering Requirements	The solution shall provide an area in which the bill # can be accessed prior to the final outcome being entered. This will allow the timely preparation of the letter.	Functionality not in PEPS		Deliverable 127.1.2	8.1.3	eCMO
2.1.2.124	PEPS Re-engineering Requirements	The solution shall provide appropriate information to enter liabilities by deficiency.	Functionality partially in PEPS	For paper submissions, PEPS has this functionality.	Deliverable 127.1.2	8.1.4	eCMO
2.1.2.125	PEPS Re-engineering Requirements	The solution shall provide a system that manages recertification's by cohort.	Functionality in PEPS	This function is in the reviewer area.	Deliverable 127.1.2	8.1.5	eCMO
2.1.2.126	PEPS Re-engineering Requirements	The solution shall include enhanced eApp edits. Problems with unimportant fields shall not hold up the entire process.	N/A		Deliverable 127.1.2	8.1.6	eCMO
2.1.2.127	PEPS Re-engineering Requirements	The solution shall have a safeguard to track schools that have lost eligibility and are attempting to re-enter the program.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.7	eCMO
2.1.2.128	PEPS Re-engineering Requirements	The solution shall include the date that programs are disapproved on ECAR so that the school will be aware.	Functionality in PEPS		Deliverable 127.1.2	8.1.8	eCMO
2.1.2.129	PEPS Re-engineering Requirements	The solution shall include an identifier within the system (or enhance the current ownership tree) that flags common ownership schools.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.9	eCMO
2.1.2.130	PEPS Re-engineering Requirements	The solution shall ensure that institution eligibility information (whether or not the institution is eligible) is accurate.	N/A	This gets to the issue of an accurate tracking of data. Eligibility data is tracked in PEPS. If this data is not accurate today, the specifics of this will need to be outlined.	Deliverable 127.1.2	8.1.10	eCMO
2.1.2.131	PEPS Re-engineering Requirements	The solution shall eliminate duplicate letters and correspondence schools receive concerning loss of eligibility by Case Teams and the DRCC.	Functionality partially in PEPS	The currently system generates certain documents, but does not manage them and distribute them like a true document management system.	Deliverable 127.1.2	8.1.11	eCMO
2.1.2.132	PEPS Re-engineering Requirements	The solution shall provide the ability to enter future dates for school closure, future eligibility action, and other fields for which business requirements specify a need.	Functionality not in PEPS	Not currently available in PEPS. Discussed in the PEPS requirements section, with the implementation being more a workflow step than entering a future date into the production system.	Deliverable 127.1.2	8.1.12	eCMO
2.1.2.133	PEPS Re-engineering Requirements	The solution shall provide enhancements to the existing module for recording ongoing details for each Closed School.	Functionality partially in PEPS	Enhancement to the current PEPS system.	Deliverable 127.1.2	8.1.13	eCMO
2.1.2.134	PEPS Re-engineering Requirements	The solution shall provide a module to log and compile student complaints.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.14	eCMO
2.1.2.135	PEPS Re-engineering Requirements	The solution shall include a tracking system for Letters of Credit from all schools.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.15	eCMO
2.1.2.136	PEPS Re-engineering Requirements	The solution shall provide options to log and ID each type of program review including Model Case Enforcements.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.16	eCMO
2.1.2.137	PEPS Re-engineering Requirements	The solution shall include a data element for file review for program reviews - including analysis across regions identifying when/ why used.	Functionality partially in PEPS		Deliverable 127.1.2	8.1.17	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.138	PEPS Re-engineering Requirements	The solution shall provide an automated method in which to log reimbursement batches submitted.	N/A		Deliverable 127.1.2	8.1.18	eCMO
2.1.2.139	PEPS Re-engineering Requirements	The solution shall provide a system that sums the individual programs for the reimbursement analyst to search for in GAPS.	N/A		Deliverable 127.1.2	8.1.19	eCMO
2.1.2.140	PEPS Re-engineering Requirements	The solution shall provide a method for recording totals and identifying fund types as well as recording comments.	N/A		Deliverable 127.1.2	8.1.20	eCMO
2.1.2.141	PEPS Re-engineering Requirements	The solution shall require an appropriate reason code as teams place "potential" Closed Schools on reimbursement.	Functionality partially in PEPS	Enhancement to the current PEPS system.	Deliverable 127.1.2	8.1.21	eCMO
2.1.2.142	PEPS Re-engineering Requirements	The solution shall provide an accurate automated reflection of multiple and long-term MIS activities with a single start and end date.	Functionality not in PEPS		Deliverable 127.1.2	8.1.22	eCMO
2.1.2.143	PEPS Re-engineering Requirements	The solution shall have a method of capturing IIS onsite notes and distributing to case teams.	Functionality not in PEPS		Deliverable 127.1.2	8.1.23	eCMO
2.1.2.144	PEPS Re-engineering Requirements	The solution shall integrate the functionality in the current separate systems (PEPS, eZ-Audit, CMIS, any regional homegrown systems, etc).	N/A	Larger issue than just a PEPS enhancement.	Deliverable 127.1.2	8.1.24	eCMO
2.1.2.145	PEPS Re-engineering Requirements	The solution shall include a system of record for each data element. (Eliminate duplicate data within the CMO system, and between CMO and non-CMO systems).	N/A	Larger issue than just PEPS. An enhancement to the current PEPS system would be to make eZ-Audit related data non-editable in PEPS.	Deliverable 127.1.2	8.1.25	eCMO
2.1.2.146	PEPS Re-engineering Requirements	The solution shall include a data dictionary defining the exact meaning of all fields in the system.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.26	eCMO
2.1.2.147	PEPS Re-engineering Requirements	Each data element in the solution shall have a data owner responsible for the integrity of that data.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.27	eCMO
2.1.2.148	PEPS Re-engineering Requirements	The solution shall include more automated edits than the current systems - certain errors could be eliminated if system included data edits.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.28	eCMO
2.1.2.149	PEPS Re-engineering Requirements	The solution shall address internal use vs. public information maintained in the system (FOIA issues).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.29	eCMO
2.1.2.150	PEPS Re-engineering Requirements	Screen data in the new solution shall be structured to provide more ease of use than current PEPS screens.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.30	eCMO
2.1.2.151	PEPS Re-engineering Requirements	The solution shall provide a better method of running regional reports.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.31	eCMO
2.1.2.152	PEPS Re-engineering Requirements	The solution shall include upgraded hardware and software to quicken the time it takes to manipulate large amounts of student data.	N/A	Not a PEPS issue, since this deals with student data.	Deliverable 127.1.2	8.1.32	eCMO
2.1.2.153	PEPS Re-engineering Requirements	The solution shall have the ability to view/print case information by date range, issues, etc.	Functionality partially in PEPS	I do not believe this functionality is currently in PEPS.	Deliverable 127.1.2	8.1.33	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.154	PEPS Re-engineering Requirements	The solution shall include updated dropdown menus of reasons (start with those currently in PEPS).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.34	eCMO
2.1.2.155	PEPS Re-engineering Requirements	The solution shall save data iterations for historical purposes – so you can see information status at a specific previous point in time (e.g., PPA, ECAR from previous recertification).	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.35	eCMO
2.1.2.156	PEPS Re-engineering Requirements	The solution shall provide a better facility for documenting decisions. The solution must provide multiple levels for recording the rationale and recommendations for decision for each transaction: level 1 - for the analyst and each reviewer; level 2 - for the sub team, if any; level 3 - for the full team.	Functionality partially in PEPS	This would require an enhancement of the current functionality.	Deliverable 127.1.2	8.1.36	eCMO
2.1.2.157	PEPS Re-engineering Requirements	The solution shall eliminate the current confusion regarding what information must be recorded in PEPS vs. CMIS, and the duplication of case information in both systems.	N/A	They are actually part of the same system (PEPS), so this may just be an enhancement to eliminate "duplicate" data.	Deliverable 127.1.2	8.1.37	eCMO
2.1.2.158	PEPS Re-engineering Requirements	The solution shall allow flexibility surrounding the timing of the documentation of the decision. Documentation and data entry can occur concurrently with the decision.	Functionality not in PEPS		Deliverable 127.1.2	8.1.38	eCMO
2.1.2.159	PEPS Re-engineering Requirements	The solution shall have the ability to capture multiple actions for one decision.	Functionality not in PEPS		Deliverable 127.1.2	8.1.39	eCMO
2.1.2.160	PEPS Re-engineering Requirements	The solution shall provide a chronology of dates/events for a particular school.	N/A		Deliverable 127.1.2	8.1.40	eCMO
2.1.2.161	PEPS Re-engineering Requirements	The solution shall provide a comprehensive school contact record, including phone calls, emails, and letters.	Functionality partially in PEPS	There is some capability of tracking contact details in PEPS (and eZ-Audit). This may require enhancement to make it easier to use.	Deliverable 127.1.2	8.1.41	eCMO
2.1.2.162	PEPS Re-engineering Requirements	School contacts, especially phone calls, shall be able to be quickly and easily captured in the solution.	Functionality partially in PEPS	There is some capability of tracking contact details in PEPS (and eZ-Audit). This may require enhancement to make it easier to use.	Deliverable 127.1.2	8.1.42	eCMO
2.1.2.163	PEPS Re-engineering Requirements	The solution shall be able to track pertinent information about correspondence generated, including person requesting, letter type, and date sent.	Functionality partially in PEPS	For the correspondence currently generated by PEPS, much of this information is included. The system would have to be enhanced to generate the full range of documents.	Deliverable 127.1.2	8.1.43	eCMO
2.1.2.164	PEPS Re-engineering Requirements	The solution shall prevent the initiation of duplicate or contradictory correspondence to schools.	Functionality not in PEPS		Deliverable 127.1.2	8.1.44	eCMO
2.1.2.165	Policy/Procedure Requirements	Guidance shall be provided for Case Teams to complete the DDIF and the ACD with revised liability amounts by deficiencies.	N/A		Deliverable 127.1.2	8.3.1	eCMO
2.1.2.166	Policy/Procedure Requirements	The solution shall provide detailed guidelines on who shall initiate debarment requests.	N/A		Deliverable 127.1.2	8.3.2	eCMO
2.1.2.167	Policy/Procedure Requirements	The solution shall periodically perform a mass confirmation of officials including validation of email address and phone numbers.	Functionality not in PEPS	This is discussed in the PEPS requirements. The implementation might be difficult, but in theory this is a good requirement.	Deliverable 127.1.2	8.3.3	eCMO
2.1.2.168	Policy/Procedure Requirements	The solution shall make use of electronic signature legislation in developing new processes.	N/A		Deliverable 127.1.2	8.3.4	eCMO
2.1.2.169	Policy/Procedure Requirements	The solution shall reevaluate the questions on the recertification application regarding participation levels in Distance Ed.	N/A		Deliverable 127.1.2	8.3.5	eCMO
2.1.2.170	Policy/Procedure Requirements	The solution shall rephrase the eApp questions to gather detailed information as to the "Cease of instruction date" to reduce the amount of research conducted by Closed Schools.	N/A	shall be part of the ongoing eApp reengineering discussion.	Deliverable 127.1.2	8.3.6	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.171	Policy/Procedure Requirements	The solution shall re-examine the change in ownership process.	N/A		Deliverable 127.1.2	8.3.7	eCMO
2.1.2.172	Policy/Procedure Requirements	The solution shall list the students' name and SSN in the audit.	N/A		Deliverable 127.1.2	8.3.8	eCMO
2.1.2.173	Policy/Procedure Requirements	The solution shall update deficiency codes.	N/A		Deliverable 127.1.2	8.3.9	eCMO
2.1.2.174	Policy/Procedure Requirements	The solution shall investigate a more efficient way to receive closed school / location notification.	N/A		Deliverable 127.1.2	8.3.10	eCMO
2.1.2.175	Policy/Procedure Requirements	The solution shall implement a standard method for receiving and responding to institutional complaints across all agencies within the department, including complaints regarding schools from Customer Service, Student Ombudsman, Debt Collection.	N/A		Deliverable 127.1.2	8.3.11	eCMO
2.1.2.176	Policy/Procedure Requirements	The solution shall reevaluate the Distance Ed 50% limit (current law states that in order to be eligible for title IV funds, you cannot provide more than 50% of instruction via distance ed).	N/A	This requirement needs to be reviewed with Case teams prior to implementation. Functionality surrounding Distance ED is partially in PEPS today.	Deliverable 127.1.2	8.3.13	eCMO
2.1.2.177	Policy/Procedure Requirements	The solution shall develop and implement a clearer definition of the levels of program review results. (The current 1-4 system is open to a great deal of interpretation).	N/A		Deliverable 127.1.2	8.3.14	eCMO
2.1.2.178	Policy/Procedure Requirements	The solution shall determine whether the FPRD shall be approved by upper management.	N/A		Deliverable 127.1.2	8.3.15	eCMO
2.1.2.179	Policy/Procedure Requirements	The solution shall perform an update to the 2001 Program Review Guide.	N/A		Deliverable 127.1.2	8.3.16	eCMO
2.1.2.180	Policy/Procedure Requirements	The solution shall perform an update to the procedures and reimbursement manual, to ensure analysts are working with the most up-to-date information.	N/A		Deliverable 127.1.2	8.3.17	eCMO
2.1.2.181	Policy/Procedure Requirements	The solution shall reevaluate PIP procedures for reimbursement.	N/A		Deliverable 127.1.2	8.3.18	eCMO
2.1.2.182	Policy/Procedure Requirements	The solution shall perform an analysis to rectify how FSA can properly monitor Reimbursement schools on FFEL since Guarantee Agencies are outside of the FSA purview.	N/A		Deliverable 127.1.2	8.3.19	eCMO
2.1.2.183	Policy/Procedure Requirements	The solution shall create policy guidelines as to how long schools can remain on reimbursement before losing eligibility.	N/A		Deliverable 127.1.2	8.3.20	eCMO
2.1.2.184	Policy/Procedure Requirements	The solution shall clearly define roles and responsibilities of the training officers, client account managers, and IIS.	N/A		Deliverable 127.1.2	8.3.21	eCMO
2.1.2.185	Policy/Procedure Requirements	The IIS manual shall be revised and updated.	N/A		Deliverable 127.1.2	8.3.22	eCMO
2.1.2.186	Policy/Procedure Requirements	The solution shall provide an updated IIS manual.	N/A		Deliverable 127.1.2	8.3.24	eCMO
2.1.2.187	Policy/Procedure Requirements	The solution shall conduct a periodic re-evaluations policy to determine what will be updated and modified.	N/A		Deliverable 127.1.2	8.3.26	eCMO
2.1.2.188	Policy/Procedure Requirements	The solution shall perform policy and procedure updates with current systems in mind to ensure that policies are up to date with latest technology.	N/A		Deliverable 127.1.2	8.3.27	eCMO
2.1.2.189	Training Requirements	The solution shall make TA policy determination regarding audits/certifications for institutions with multiple branches shall the audit/certifications occur at the corporate level or the individual school level.	N/A	Edits could potentially be implemented to facilitate this. The determination as to the type of edits will need to be determined during the detailed requirements phase.	Deliverable 127.1.2	8.4.1	eCMO
2.1.2.190	Training Requirements	The solution shall check accrediting agency data periodically against OPE's list of approved accreditors.	N/A		Deliverable 127.1.2	8.4.2	eCMO



eCMO High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.1.2.191	Training Requirements	The solution shall provide training on the determination of revocations, denials, provisional recertification. or any adverse actions.	N/A		Deliverable 127.1.2	8.4.3	eCMO
2.1.2.192	Training Requirements	The solution shall provide additional training to teams in interpreting crime statistics.	N/A		Deliverable 127.1.2	8.4.4	eCMO
2.1.2.193	Training Requirements	The solution shall provide additional training on detecting fraud during onsite reviews.	N/A		Deliverable 127.1.2	8.4.5	eCMO
2.1.2.194	Training Requirements	The solution shall offer a "refresher" course on program review techniques to field staff.	N/A		Deliverable 127.1.2	8.4.6	eCMO
2.1.2.195	Training Requirements	The solution shall provide a comprehensive overview of the system for all New Hires.	N/A		Deliverable 127.1.2	8.4.7	eCMO



Enrollment Management High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.3.1	Effective Decision Making	The solution shall support making enrollment decisions at the enterprise level instead of by system.		Deliverable 123.1.26	A1.1.1	Enrollment
2.1.3.2	Effective Decision Making	The solution shall take into account unique requirements of foreign schools when making decisions about enrollment (registration).		Deliverable 123.1.26	A1.1.2	Enrollment
2.1.3.3	Effective Decision Making	The solution shall facilitate decision making with an effective enrollment (registration) approval workflow process.		Deliverable 123.1.26	A1.1.3	Enrollment
2.1.3.4	Effective Decision Making	The solution shall provide the capability to review default and overpayment records.		Deliverable 123.1.26	B1.1.1	Enrollment
2.1.3.5	Effective Decision Making	The solution shall enable enrollment decisions at the business process level.		Deliverable 123.1.26	B1.1.2	Enrollment
2.1.3.6	Right Tools & Technology	The solution shall enable integration across business processes to support the use of a single User ID and password.		Deliverable 123.1.26	A2.1.02	Enrollment
2.1.3.7	Right Tools & Technology	The solution shall provide cost effective tools for managing enrollment (registration).		Deliverable 123.1.26	A2.1.07	Enrollment
2.1.3.8	Right Tools & Technology	The solution shall provide, where possible, automated tools for enrollment.		Deliverable 123.1.26	A2.1.08	Enrollment
2.1.3.9	Right Tools & Technology	The solution shall support unique requirements associated with enrollment management of foreign schools.		Deliverable 123.1.26	A2.1.09	Enrollment
2.1.3.10	Right Tools & Technology	The solution shall provide workflow tools that support enrollment (registration) approval processes.		Deliverable 123.1.26	A2.1.10	Enrollment
2.1.3.11	Right Tools & Technology	The solution shall provide institution enrollment status via the Web.		Deliverable 123.1.26	A2.2.2	Enrollment
2.1.3.12	Right Tools & Technology	The solution shall provide users with a view of their enrollment status.		Deliverable 123.1.26	A2.2.3	Enrollment
2.1.3.13	Right Tools & Technology	The solution shall mitigate risk with a single enrollment point to the Title IV Aid Delivery process.		Deliverable 123.1.26	A2.3.1	Enrollment
2.1.3.14	Right Tools & Technology	The solution shall provide business continuity processes that allow easy recovery of enrollment management systems.		Deliverable 123.1.26	A2.3.2	Enrollment
2.1.3.15	Right Tools & Technology	The solution shall provide flexible provisioning services for existing and future systems.		Deliverable 123.1.26	A2.4.1	Enrollment
2.1.3.16	Right Tools & Technology	The solution shall support future system consolidation efforts.		Deliverable 123.1.26	A2.4.2	Enrollment
2.1.3.17	Right Tools & Technology	The solution shall support easier enrollment management for legacy systems with minimal or no rework.		Deliverable 123.1.26	A2.4.3	Enrollment
2.1.3.18	Right Tools & Technology	The solution shall support the adoption of e-signatures.		Deliverable 123.1.26	A2.4.5	Enrollment
2.1.3.19	Right Tools & Technology	The solution shall provide flexibility to accommodate changes in business process, regulations, and statutes.		Deliverable 123.1.26	A2.4.6	Enrollment
2.1.3.20	Right Tools & Technology	The solution shall provide an audit trail sufficient to track updates and perform historical research.		Deliverable 123.1.26	B2.1.3	Enrollment
2.1.3.21	Right Tools & Technology	The solution shall support consolidated reporting on enrollment management across FSA systems.		Deliverable 123.1.26	B2.1.6	Enrollment
2.1.3.22	Right Tools & Technology	The solution shall establish standards for the initial identification of users.		Deliverable 123.1.26	C2.1.1	Enrollment
2.1.3.23	Right Tools & Technology	The solution shall define delegated administration standards for Trading Partners.		Deliverable 123.1.26	C2.1.3	Enrollment
2.1.3.24	Right Tools & Technology	The solution shall create enrollment management standards to define integration guidelines for future systems.		Deliverable 123.1.26	C2.1.8	Enrollment



Enrollment Management High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.1.3.25	Right Tools & Technology	The solution shall provide a secure infrastructure for enrollment management.		Deliverable 123.1.26	C2.2.1	Enrollment
2.1.3.26	Improve and Integrate Business Processes	The solution shall consolidate duplicated system enrollment processes.		Deliverable 123.1.26	A3.1.1	Enrollment
2.1.3.27	Improve and Integrate Business Processes	The solution shall provide a common collection point and storage location for Trading Partner data.		Deliverable 123.1.26	A3.1.2	Enrollment
2.1.3.28	Improve and Integrate Business Processes	The solution shall share information across FSA systems throughout the Student Aid Lifecycle.		Deliverable 123.1.26	A3.1.3	Enrollment
2.1.3.29	Improve and Integrate Business Processes	The solution shall provide a method for viewing enrollment management data from a single location.		Deliverable 123.1.26	A3.1.4	Enrollment
2.1.3.30	Improve and Integrate Business Processes	The solution shall minimize the number of initial contact points for the system enrollment process to other systems.		Deliverable 123.1.26	A3.1.5	Enrollment
2.1.3.31	Improve and Integrate Business Processes	The solution shall support a common method for communicating information about enrollment management to users.		Deliverable 123.1.26	A3.1.6	Enrollment
2.1.3.32	Improve and Integrate Business Processes	The solution shall consider and incorporate external regulatory requirements affecting enrollment management.		Deliverable 123.1.26	B3.1.1	Enrollment
2.1.3.33	Improve and Integrate Business Processes	The solution shall provide methods to track FSA compliance with regulations as they change.		Deliverable 123.1.26	B3.1.2	Enrollment
2.1.3.34	Improve and Integrate Business Processes	The solution shall provide efficient help desk support for Trading Partners.		Deliverable 123.1.26	C3.1.1	Enrollment
2.1.3.35	Improve and Integrate Business Processes	The solution shall provide common processes that allow help desk staff to handle cross-enterprise support issues.		Deliverable 123.1.26	C3.1.2	Enrollment
2.1.3.36	Improve and Integrate Business Processes	The solution shall provide enrollment status to help desk staff for customer support.		Deliverable 123.1.26	C3.1.3	Enrollment
2.1.3.37	Improve and Integrate Business Processes	The solution shall create effective communication and education channels for explaining the enrollment management process.		Deliverable 123.1.26	C3.1.4	Enrollment
2.1.3.38	Improve and Integrate Business Processes	The solution shall provide training on expected user responsibilities.		Deliverable 123.1.26	C3.1.5	Enrollment



Access Management High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System/ Business Process
2.1.4.1	Effective Decision Making	The solution shall support making access decisions at the enterprise level instead of by system.		Deliverable 123.1.27	A1.1.1	Access Mtg
2.1.4.2	Effective Decision Making	The solution shall take into account unique requirements of foreign schools when making decisions about registration and access.		Deliverable 123.1.27	A1.1.2	Access Mtg
2.1.4.3	Effective Decision Making	The solution shall facilitate decision making with an effective registration and access approval workflow process.		Deliverable 123.1.27	A1.1.3	Access Mtg
2.1.4.4	Effective Decision Making	The solution shall provide the capability to review default and overpayment records.		Deliverable 123.1.27	B1.1.1	Access Mtg
2.1.4.5	Effective Decision Making	The solution shall enable enrollment decisions at the business process level.		Deliverable 123.1.27	B1.1.2	Access Mtg
2.1.4.6	Right Tools & Technology	The solution shall administer access privileges at the enterprise level.		Deliverable 123.1.27	A2.1.01	Access Mtg
2.1.4.7	Right Tools & Technology	The solution shall enable integration across business processes to support use of a single User ID and password.		Deliverable 123.1.27	A2.1.02	Access Mtg
2.1.4.8	Right Tools & Technology	The solution shall ensure that each User ID is associated with a single user or entity.		Deliverable 123.1.27	A2.1.03	Access Mtg
2.1.4.9	Right Tools & Technology	The solution shall support single sign-on functions.		Deliverable 123.1.27	A2.1.04	Access Mtg
2.1.4.10	Right Tools & Technology	The solution shall support multiple user sessions.		Deliverable 123.1.27	A2.1.05	Access Mtg
2.1.4.11	Right Tools & Technology	The solution shall provide methods to enable and disable user access at specified begin and end dates.		Deliverable 123.1.27	A2.1.06	Access Mtg
2.1.4.12	Right Tools & Technology	The solution shall provide cost effective tools for managing access.		Deliverable 123.1.27	A2.1.07	Access Mtg
2.1.4.13	Right Tools & Technology	The solution shall provide, where possible, automated tools for access management.		Deliverable 123.1.27	A2.1.08	Access Mtg
2.1.4.14	Right Tools & Technology	The solution shall support unique requirements associated with access management of foreign schools.		Deliverable 123.1.27	A2.1.09	Access Mtg
2.1.4.15	Right Tools & Technology	The solution shall provide workflow tools that support access approval processes.		Deliverable 123.1.27	A2.1.10	Access Mtg
2.1.4.16	Right Tools & Technology	The solution shall effectively terminate access rights across systems.		Deliverable 123.1.27	A2.1.11	Access Mtg
2.1.4.17	Right Tools & Technology	The solution shall provide a method for easy password reset.		Deliverable 123.1.27	A2.1.12	Access Mtg



Access Management High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System/ Business Process
2.1.4.18	Right Tools & Technology	The solution shall support self-service administration of user access by the Trading Partner.		Deliverable 123.1.27	A2.2.1	Access Mtg
2.1.4.19	Right Tools & Technology	The solution shall provide users with a view of their access status.		Deliverable 123.1.27	A2.2.3	Access Mtg
2.1.4.20	Right Tools & Technology	The solution shall mitigate risk with single access point to the Title IV Aid Delivery process.		Deliverable 123.1.27	A2.3.1	Access Mtg
2.1.4.21	Right Tools & Technology	The solution shall provide business continuity processes that allow easy recovery of access management systems.		Deliverable 123.1.27	A2.3.2	Access Mtg
2.1.4.22	Right Tools & Technology	The solution shall provide session timeout features that balance usability with FSA security requirements.		Deliverable 123.1.27	A2.3.3	Access Mtg
2.1.4.23	Right Tools & Technology	The solution shall minimize restrictions on public information.		Deliverable 123.1.27	A2.3.4	Access Mtg
2.1.4.24	Right Tools & Technology	The solution shall provide flexible provisioning services for existing and future systems.		Deliverable 123.1.27	A2.4.1	Access Mtg
2.1.4.25	Right Tools & Technology	The solution shall support future system consolidation efforts.		Deliverable 123.1.27	A2.4.2	Access Mtg
2.1.4.26	Right Tools & Technology	The solution shall support easier access management for legacy systems with minimal or no rework.		Deliverable 123.1.27	A2.4.3	Access Mtg
2.1.4.27	Right Tools & Technology	The solution shall support simplified user identification/certification between FSA and other government agencies.		Deliverable 123.1.27	A2.4.4	Access Mtg
2.1.4.28	Right Tools & Technology	The solution shall support adoption of e-signatures.		Deliverable 123.1.27	A2.4.5	Access Mtg
2.1.4.29	Right Tools & Technology	The solution shall provide flexibility to accommodate changes in business process, regulations, and statutes.		Deliverable 123.1.27	A2.4.6	Access Mtg
2.1.4.30	Right Tools & Technology	The solution shall provide the ability to efficiently identify accounts that should be removed or disabled.		Deliverable 123.1.27	B2.1.1	Access Mtg
2.1.4.31	Right Tools & Technology	The solution shall provide a convenient, effective way to view and report on the access privileges of users across multiple systems.		Deliverable 123.1.27	B2.1.2	Access Mtg
2.1.4.32	Right Tools & Technology	The solution shall provide an audit trail sufficient to track updates and perform historical research.		Deliverable 123.1.27	B2.1.3	Access Mtg



Access Management High-Level Requirements

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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System/ Business Process
2.1.4.33	Right Tools & Technology	The solution shall provide the ability to view user access privileges over time.		Deliverable 123.1.27	B2.1.4	Access Mtg
2.1.4.34	Right Tools & Technology	The solution shall provide automated procedures to identify anomalies in access or inappropriate combinations of access privileges across systems.		Deliverable 123.1.27	B2.1.5	Access Mtg
2.1.4.35	Right Tools & Technology	The solution shall support consolidated reporting access management across FSA systems.		Deliverable 123.1.27	B2.1.6	Access Mtg
2.1.4.36	Right Tools & Technology	The solution shall establish standards for initial identification of users.		Deliverable 123.1.27	C2.1.1	Access Mtg
2.1.4.37	Right Tools & Technology	The solution shall define enterprise user access privileges and roles.		Deliverable 123.1.27	C2.1.2	Access Mtg
2.1.4.38	Right Tools & Technology	The solution shall define delegated administration standards for Trading Partners.		Deliverable 123.1.27	C2.1.3	Access Mtg
2.1.4.39	Right Tools & Technology	The solution shall define enterprise standards for the authentication of users.		Deliverable 123.1.27	C2.1.4	Access Mtg
2.1.4.40	Right Tools & Technology	The solution shall define signature standards for both wet signatures and on-line signatures.		Deliverable 123.1.27	C2.1.5	Access Mtg
2.1.4.41	Right Tools & Technology	The solution shall define standards for periodic review of access privileges across systems.		Deliverable 123.1.27	C2.1.6	Access Mtg
2.1.4.42	Right Tools & Technology	The solution shall define standards for periodic review of audit logs across systems.		Deliverable 123.1.27	C2.1.7	Access Mtg
2.1.4.43	Right Tools & Technology	The solution shall create access management standards to define integration guidelines for future systems.		Deliverable 123.1.27	C2.1.8	Access Mtg
2.1.4.44	Right Tools & Technology	The solution shall provide secure infrastructure for access management.		Deliverable 123.1.27	C2.2.1	Access Mtg
2.1.4.45	Right Tools & Technology	The solution shall provide controls to mitigate risks associated with consolidated User IDs.		Deliverable 123.1.27	C2.2.2	Access Mtg
2.1.4.46	Right Tools & Technology	The solution shall provide centralized oversight of system security to identify potential security breaches.		Deliverable 123.1.27	C2.2.3	Access Mtg
2.1.4.47	Right Tools & Technology	The solution shall enforce individual accountability across FSA systems.		Deliverable 123.1.27	C2.2.4	Access Mtg



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System/ Business Process
2.1.4.48	Right Tools & Technology	The solution shall establish enterprise-wide policy, participation agreements, and audits to limit a single User ID to a single user.		Deliverable 123.1.27	C2.2.5	Access Mtg
2.1.4.49	Right Tools & Technology	The solution shall provide role-based access to FSA systems.		Deliverable 123.1.27	C2.3.1	Access Mtg
2.1.4.50	Right Tools & Technology	The solution shall create flexible roles to allow for changes and additions independent of the lifecycle phase.		Deliverable 123.1.27	C2.3.2	Access Mtg
2.1.4.51	Right Tools & Technology	The solution shall support exceptions to standard access roles.		Deliverable 123.1.27	C2.3.3	Access Mtg
2.1.4.52	Right Tools & Technology	The solution shall integrate Trading Partner access with Dept of Education Staff access processes.		Deliverable 123.1.27	C2.3.4	Access Mtg
2.1.4.53	Right Tools & Technology	The solution shall provide the ability to control access at different levels of granularity.		Deliverable 123.1.27	C2.3.5	Access Mtg
2.1.4.54	Right Tools & Technology	Support ability to designate the recipient of a requested file.		Deliverable 123.1.27	C2.3.6	Access Mtg
2.1.4.55	Improve and Integrate Business Processes	The solution shall provide a common collection point and storage location for Trading Partner data.		Deliverable 123.1.27	A3.1.2	Access Mtg
2.1.4.56	Improve and Integrate Business Processes	The solution shall share information across FSA systems throughout the Student Aid Lifecycle.		Deliverable 123.1.27	A3.1.3	Access Mtg
2.1.4.57	Improve and Integrate Business Processes	The solution shall provide a method for viewing access management data from a single location.		Deliverable 123.1.27	A3.1.4	Access Mtg
2.1.4.58	Improve and Integrate Business Processes	The solution shall minimize the number of initial contact points for obtaining user access to systems.		Deliverable 123.1.27	A3.1.5	Access Mtg
2.1.4.59	Improve and Integrate Business Processes	The solution shall support a common method for communicating information about access management to users.		Deliverable 123.1.27	A3.1.6	Access Mtg
2.1.4.60	Improve and Integrate Business Processes	The solution shall consider and incorporate external regulatory requirements affecting access management.		Deliverable 123.1.27	B3.1.1	Access Mtg
2.1.4.61	Improve and Integrate Business Processes	The solution shall provide methods to track FSA compliance with regulations as they change.		Deliverable 123.1.27	B3.1.2	Access Mtg
2.1.4.62	Improve and Integrate Business Processes	The solution shall provide efficient help desk support for Trading Partners.		Deliverable 123.1.27	C3.1.1	Access Mtg
2.1.4.63	Improve and Integrate Business Processes	The solution shall provide common processes that allow help desk staff to handle cross-enterprise support issues.		Deliverable 123.1.27	C3.1.2	Access Mtg
2.1.4.64	Improve and Integrate Business Processes	The solution shall create effective communication and education channels for explaining the access management process.		Deliverable 123.1.27	C3.1.4	Access Mtg
2.1.4.65	Improve and Integrate Business Processes	The solution shall provide training on expected user responsibilities.		Deliverable 123.1.27	C3.1.5	Access Mtg
2.1.4.66	Improve and Integrate Business Processes	The solution shall consider access needs during peak processing periods.		Deliverable 123.1.27	C3.2.1	Access Mtg
2.1.4.67	Improve and Integrate Business Processes	The solution shall provide for proactive notification of password expiration.		Deliverable 123.1.27	C3.2.2	Access Mtg



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.1	Accounting	The solution shall track and allow viewing of accounting transaction history records.		Deliverable 70.1.8	ADMCX002	eCB
2.2.1.2	Accounting	The solution shall enable the setting up of Funding Authorization Amounts.		New based on existing functionality	N/A	eCB
2.2.1.3	Accounting	The solution shall enable the setting up of Account Classification Codes.		New based on existing functionality	N/A	eCB
2.2.1.4	Accounting	The solution shall facilitate the approval process for all award transaction generated from other modules.		New based on existing functionality	N/A	eCB
2.2.1.5	Awards	The solution shall allow viewing/editing of base guarantees, LOE amounts, and cumulative Teacher Cancellation payments to schools.		Deliverable 70.1.8	ADMGX015	eCB
2.2.1.6	Communication Log	The solution shall track telephone log information.		Deliverable 70.1.8	ADMGX001	eCB
2.2.1.7	Communication Log	The solution shall display and archive telephone log data.		Deliverable 70.1.8	ADMGX002	eCB
2.2.1.8	Communication Log	The solution shall allow viewing and editing of the telephone log.		Deliverable 70.1.8	ADMGX003	eCB
2.2.1.9	Communication Log	The solution shall allow all fields in the phone log to be searchable.		Deliverable 70.1.8	ADMGX004	eCB
2.2.1.10	Communication Log	The solution shall contain a comment box to depict the nature of the call.		Deliverable 70.1.8	ADMGX005	eCB
2.2.1.11	Default Reduction Assistance	The system shall produce Dept. of Education Default Warning Letters.		New based on existing functionality	N/A	eCB
2.2.1.12	Default Reduction Assistance	The system shall send students Default Warning Letters upon request from school or servicer.		New based on existing functionality	N/A	eCB
2.2.1.13	FISAP Application	The solution shall allow users to access the current eCB edit reports and other quality control reports used to find possibly incorrect FISAP data submitted by schools each year. The reports shall be accessible on-line and be downloadable files.		Deliverable 70.1.8	ADMAX004	eCB
2.2.1.14	FISAP Application	The solution shall allow for viewing of the FISAP edit errors and allow the suppression of edits either globally or by individual schools.		Deliverable 70.1.8	ADMAX005	eCB
2.2.1.15	FISAP Application	The solution shall allow viewing of the FISAP form itself for a particular year.		Deliverable 70.1.8	ADMCX001	eCB
2.2.1.16	FISAP Application	The solution shall allow user to view and edit demographics data such as, school's name, address, ID numbers, and Financial Management Specialist.		Deliverable 70.1.8	ADMCX004	eCB
2.2.1.17	FISAP Application	The solution shall allow editing of the school's contact email information.		Deliverable 70.1.8	ADMCX009	eCB
2.2.1.18	FISAP Application	The solution shall provide access to the name, address, and OPEID number of each branch of a school.		Deliverable 70.1.8	ADMCX011	eCB
2.2.1.19	FISAP Application	The solution shall allow a user to view school's prior year data.		Deliverable 70.1.8	ADMCX012	eCB



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.20	FISAP Application	The solution shall allow comments to be viewable, along with the ability to add and change comments about a school's current FISAP submission.		Deliverable 70.1.8	ADMCX013	eCB
2.2.1.21	FISAP Application	The solution shall allow user to view specific parts of the FISAP.		Deliverable 70.1.8	ADMCX014	eCB
2.2.1.22	FISAP Application	The solution shall allow users to view edits.		Deliverable 70.1.8	ADMCX015	eCB
2.2.1.23	FISAP Application	The solution shall allow users to view allocations.		Deliverable 70.1.8	ADMCX016	eCB
2.2.1.24	FISAP Application	The solution shall allow integrated display of year over year comparisons.		Deliverable 70.1.8	ADMCX017	eCB
2.2.1.25	FISAP Application	The solution shall facilitate the submittal of New FISAPs.		New based on existing functionality	N/A	eCB
2.2.1.26	FISAP Application	The solution shall facilitate the submittal of Reallocation Forms.		New based on existing functionality	N/A	eCB
2.2.1.27	FISAP Application	The solution shall allow updates to be made to the FISAPs.		New based on existing functionality	N/A	eCB
2.2.1.28	FISAP Application	The solution shall allow viewing of the FISAPs.		New based on existing functionality	N/A	eCB
2.2.1.29	FISAP Application	The solution shall allow viewing of Edit Errors and School Explanation of Edit Errors.		New based on existing functionality	N/A	eCB
2.2.1.30	FISAP Application	The solution shall allow viewing of Campus-Based Notifications and Award Data.		New based on existing functionality	N/A	eCB
2.2.1.31	Future Release	The solution shall calculate the average tuition and fees.		Deliverable 70.1.8	ADMCX034	eCB
2.2.1.32	Future Release	The solution shall allow the user to view other modules. For example: (1) Before overpayments are sent there needs to be a mechanisms to allow the controller to review the PLIST to determine if the school is currently being liquidated, (2) PLIST needs to view into TC payment.		Deliverable 70.1.8	ADMCX040	eCB
2.2.1.33	Future Release	The solution shall all documents to be attached to the caller ticket.		Deliverable 70.1.8	ADMGX007	eCB
2.2.1.34	Future Release	The solution shall contain an interface to COGNOS or its data.		Deliverable 70.1.8	ADMGX010	eCB
2.2.1.35	Future Release	The solution shall have the ability to report all notifications in one report to letter to provide this information to the school.		Deliverable 70.1.8	ADMGX012	eCB
2.2.1.36	Future Release	The solution shall have an interface between ELC and TC, as requested by CB staff.		Deliverable 70.1.8	ADMGX013	eCB
2.2.1.37	Hold Schools	The solution shall allow viewing and archiving of hold release data.		Deliverable 70.1.8	ADMCX003	eCB
2.2.1.38	Hold Schools	The solution shall allow the user to view and update the status section, including the hold status and allocated funds.		Deliverable 70.1.8	ADMCX041	eCB



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.39	Hold Schools	The solution shall allow tracking of Schools and Dollars on hold.		New based on existing functionality	N/A	eCB
2.2.1.40	Liquidation	The solution shall calculate the overtime ratio for schools that are liquidating- this is based on four data elements on the FISAP.		Deliverable 70.1.8	ADMCX030	eCB
2.2.1.41	Liquidation	The solution shall programmatically determine if schools met all requirements for closeout during liquidation.		Deliverable 70.1.8	ADMCX031	eCB
2.2.1.42	Manual Adjustments	The solution shall allow entry of manual calculations for tracking purposes.		Deliverable 70.1.8	ADMCX033	eCB
2.2.1.43	Manual Adjustments	The solution shall allow submitting award adjustments outside of other processes.		New based on existing functionality	N/A	eCB
2.2.1.44	New School	The solution shall have the ability to modify or add new award IDs for a serial number and school year.		Deliverable 70.1.8	ADMGX022	eCB
2.2.1.45	New School	The solution shall allow Campus-Based serial numbers to be established for new schools.		New based on existing functionality	N/A	eCB
2.2.1.46	New School	The solution shall have the ability to move FISAP to School's New Campus-Based Serial Number.		New based on existing functionality	N/A	eCB
2.2.1.47	PLIST	The solution shall include the recalculation process in the PLIST (Liquidation).		Deliverable 70.1.8	ADMCX032	eCB
2.2.1.48	PLIST	The solution shall allow multi-screen functionality (PLIST must have the capability to be pulled on the screen with the FISAP with the history file, etc.) .		Deliverable 70.1.8	ADMCX035	eCB
2.2.1.49	PLIST	The solution shall have the capability to generate response letters automatically from the PLIST solution.		Deliverable 70.1.8	ADMCX036	eCB
2.2.1.50	PLIST	The solution shall have the ability to view multiple years of data simultaneous for a School.		Deliverable 70.1.8	ADMCX037	eCB
2.2.1.51	PLIST	The solution shall allow an automated calculation for PLIST when changes are made to the FISAP.		Deliverable 70.1.8	ADMCX038	eCB
2.2.1.52	PLIST	The solution shall allow the calculation of Excess Liquid Capital Amounts.		New based on existing functionality	N/A	eCB
2.2.1.53	PLIST	The solution shall notify Schools of Excess Liquid Capital and actions to be taken.		New based on existing functionality	N/A	eCB
2.2.1.54	PLIST	The solution shall track School responses and return of Perkins Funds.		New based on existing functionality	N/A	eCB
2.2.1.55	Recalculation	The solution shall automatically recalculate any transaction that gets edited.		Deliverable 70.1.8	ADMCX043	eCB
2.2.1.56	Recalculation	The solution shall have the ability to do a "what if analysis".		Deliverable 70.1.8	ADMCX046	eCB
2.2.1.57	Recalculation	The solution shall store recalculations and maintain an audit trail for viewing.		Deliverable 70.1.8	ADMCX047	eCB



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.58	Recalculation	The solution shall produce Award De-obligations based on Recalculation results.		New based on existing functionality	N/A	eCB
2.2.1.59	Recalculation	The solution shall recalculate a School's Awards when FISAP application data changes after finals.		New based on existing functionality	N/A	eCB
2.2.1.60	Reports	The solution shall contain a report that highlights changes from the PEPS feed.		Deliverable 70.1.8	ADMCX005	eCB
2.2.1.61	Reports	The solution shall provide Perkins data (Part 3 of the FISAP) to FMS (FMS to supply the interface).		Deliverable 70.1.8	ADMGX028	eCB
2.2.1.62	Reports	The solution shall provide the capability to view and print the entire FISAP report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC005	eCB
2.2.1.63	Reports	FISAP Part 1. The solution shall provide the capability to view and print the Part 1 – Identification report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC006	eCB
2.2.1.64	Reports	FISAP Part 2. The solution shall provide the capability to view and print the Part 2 – Application report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC007	eCB
2.2.1.65	Reports	FISAP Part 3. The solution shall provide the capability to view and print the Part 3 – Perkins report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC008	eCB
2.2.1.66	Reports	FISAP Part 4. The solution shall provide the capability to view and print the Part 4 – FSEOG report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC009	eCB
2.2.1.67	Reports	FISAP Part 5. The solution shall provide the capability to view and print the Part 5 – FWS report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC010	eCB
2.2.1.68	Reports	FISAP Part 6. The solution shall provide the capability to view and print the Part 6 – Program Summary report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC011	eCB
2.2.1.69	Reports	FISAP Additional Information. The solution shall provide the capability to view and print the Additional Information report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC012	eCB
2.2.1.70	Reports	FISAP Validation Edits. The solution shall provide the capability to view and print the Validation Edit Error Worksheet report for each Campus-Based Program school.		Deliverable 70.1.8	RPTAC013	eCB
2.2.1.71	Reports	Allocation Information Report. The solution shall provide the capability to view and print the Allocation Information Report.		Deliverable 70.1.8	RPTAC014	eCB
2.2.1.72	Reports	Submission Statistics Report. The solution shall provide the capability to view or print the Submission Statistics Report. This report shall list FISAP submission statistics such as the number of submissions received by the date entered, number received with and without data, the number received for each submission type, and number of Servicer submissions.		Deliverable 70.1.8	RPTAC032	eCB



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.73	Reports	Batch Report. The solution shall provide the capability to view and print the Batch Report. This report shall list each school for which a FISAP and/or FISAP-related paperwork was received and logged by the Campus-Based contractor and include the date of receipt and corresponding batch number.		Deliverable 70.1.8	RPTAC033	eCB
2.2.1.74	Reports	Incomplete Report. The solution shall provide the capability to view and print the Incomplete Report. This report shall list each school that submitted an incomplete FISAP and the reason for the incomplete submission.		Deliverable 70.1.8	RPTAC034	eCB
2.2.1.75	Reports	Error Log Report. The solution shall have the capability to view and edit the Error Log Report. This report shall list each school whose FISAP has been rejected and the reason for the rejection.		Deliverable 70.1.8	RPTAC035	eCB
2.2.1.76	Reports	No Submitted FISAP and/or Signature Page. The solution shall be able to generate and print a report of schools that have not submitted a FISAP and/or Signature Page. The EIN column shall be removed. A signature column page shall be added.		Deliverable 70.1.8	RPTAU003	eCB
2.2.1.77	Reports	Incomplete FISAP Submission. The solution shall have the capability to view and edit an Incomplete FISAP Submission Report.		Deliverable 70.1.8	RPTAU007	eCB
2.2.1.78	Reports	Hold Schools Report. The solution shall have the capability to view and edit the Hold Schools Report. This report shall have the following columns: Serial number of the school, OPEID, DUNS, Hold Status, PEPS, NSLDS, FISAP, Perkins, date on hold/date release.		Deliverable 70.1.8	RPTCX001	eCB
2.2.1.79	Reports	Expenditure Amount Greater Than Award Report (Close Out). The solution shall have the capability to produce and print the Expended Amount Greater than Award Amount Report. This report shall list all schools have reported on the FISAP an expenditure amount.		Deliverable 70.1.8	RPTNV1301	eCB
2.2.1.80	Reports	FISAP Quality Control Report (Custom). The solution shall have the capability to produce and print the FISAP Quality Control Report. The fields shall include: total eligible aid applicant comparison, FPL FCC comparison, FSEOG Federal Funds Comparison, FWS.		Deliverable 70.1.8	RPTNV1305	eCB
2.2.1.81	Reports	FISAPS Submitted After Final Awards Report. The solution shall have the capability to produce a listing of the FISAPs submitted after Final Awards for 2001-2002 Award Year. This report shall provide the staff a list of the FISAPs that have been submitted.		Deliverable 70.1.8	RPTNV1309	eCB
2.2.1.82	Reports	The solution shall contain all desired reports that are currently available in eCB. (Specific report requirements should be reviewed at later stage of IPM development).		New based on existing functionality	N/A	eCB
2.2.1.83	School Update	The solution shall allow updating and viewing of School demographic data.		New based on existing functionality	N/A	eCB
2.2.1.84	School Update	The solution shall allow updating and viewing of school award parameters and school status flags.		New based on existing functionality	N/A	eCB
2.2.1.85	Teacher Cancellations	The solution shall track the amount of teacher and military cancellations overpayments.		Deliverable 70.1.8	ADMCX039	eCB



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Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.1.86	Teacher Cancellations	The solution shall provide a listing of low income elementary and secondary schools that qualify for loan cancellation if the Perkins Borrower teaches at that school.		New based on existing functionality	N/A	eCB
2.2.1.87	Tracking	The solution shall have the ability to view and archive tracking dates.		Deliverable 70.1.8	ADMCX006	eCB
2.2.1.88	Tracking	The solution shall allow user to view status information such as, current FISAP status, submitted waiver requests, Campus-Based solution status, and Final Allocations status.		Deliverable 70.1.8	ADMCX007	eCB
2.2.1.89	Tracking	The solution shall allow users to easily track a school's FISAP submission as well as view, change or add tracking dates.		Deliverable 70.1.8	ADMCX010	eCB
2.2.1.90	Tracking	The solution shall display school demographic data and school contact information.		New based on existing functionality	N/A	eCB
2.2.1.91	Tracking	The solution shall allow entering and displaying of Receipt dates and viewing of dates that notifications were sent out.		New based on existing functionality	N/A	eCB
2.2.1.92	Underutilization Waivers	The solution shall reflect the underutilization information from the FISAPs.		Deliverable 70.1.8	ADMCX020	eCB
2.2.1.93	Underutilization Waivers	The system shall allow reviewing (approving/denying) under use waiver requests.		New based on existing functionality	N/A	eCB
2.2.1.94	Underutilization Waivers	The system shall allow posting of Approval/Denial letters.		New based on existing functionality	N/A	eCB
2.2.1.95	Work-Colleges	The solution shall allow letters and work college FISAP automated and sent out together.		Deliverable 70.1.8	ADMGX016	eCB
2.2.1.96	Work-Colleges	The solution shall track schools qualified and participating in the work colleges program.		New based on existing functionality	N/A	eCB
2.2.1.97	Work-Colleges	The solution shall provide work colleges application form and expenditure report form.		New based on existing functionality	N/A	eCB



eZ-Audit High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.2.1		The solution shall meet all the current eZ-Audit requirements.	The eZ-Audit functional and technical requirements have been documented for each release. These will form the base set of requirements for the schools Audit and Financial Statement processing for IPM.	New based on existing functionality	N/A	eZ-Audit
2.2.2.2		The solution shall accept audits from trading partners and provide a module for FSA staff to process them.		New based on existing functionality	N/A	eZ-Audit
2.2.2.3		The solution shall accept financial statements from trading partners and provide a module for FSA staff to process them.		New based on existing functionality	N/A	eZ-Audit
2.2.2.4		The solution shall need to accept electronic attachments from trading partners.		New based on existing functionality	N/A	eZ-Audit
2.2.2.5		The solution shall provide workflow and approval processing for case teams and management.	One of the goals of IPM is to be able to provide a single view into the work of managing trading partners.	New	N/A	eZ-Audit
2.2.2.6		The solution shall provide work areas for case team members to do the majority of their work within the solution.	The goal is to limit the amount of work done outside the system and to make the work more consistent.	New based on existing functionality	N/A	eZ-Audit
2.2.2.7		The solution shall accept an automatic feed from the Federal Audit Clearinghouse.	This could either be through a true electronic interface or through the current file upload process. The decision is somewhat limited by the Clearinghouse's technical capability.	New	N/A	eZ-Audit
2.2.2.8		The solution shall allow schools to manage their own users once a designated administrator is authorized.		New based on existing functionality	N/A	eZ-Audit
2.2.2.9		The solution shall only allow a new annual submission to be made if all prior submissions have been submitted.		New based on existing functionality	N/A	eZ-Audit
2.2.2.10		The solution shall accept financial statement and audit submissions from all school types (i.e. Public, Proprietary, Nonprofit, etc.).		New based on existing functionality	N/A	eZ-Audit
2.2.2.11		The solution shall include the trading partners as a formal workflow state to allow reporting of the exact submission status at a point in time.	For example, if additional information was requested, the system would track this as work waiting on the school.	New based on existing functionality	N/A	eZ-Audit
2.2.2.12		The solution shall provide the same or more user roles for schools.		New based on existing functionality	N/A	eZ-Audit



eZ-Audit High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.2.13		The solution shall integrate or replace eZ-Audit and Acorde document management, document generation, and records management capabilities.		New	N/A	eZ-Audit
2.2.2.14		The solution shall integrate or replace the eZ-Audit security solution for user creation and authentication.		New based on existing functionality	N/A	eZ-Audit
2.2.2.15		The solution shall eliminate the need for duplicate audit/financial statement data storage.	The data currently stored in both PEPS and eZ-Audit should be stored in on common repository, the CDA, and be maintained by the IPM solution.	New	N/A	eZ-Audit
2.2.2.16		The solution shall utilize a document management system that is NARA-certified application to eliminate the need for both paper and electronic storage of records.		New	N/A	eZ-Audit
2.2.2.17		The solution shall integrate or replace the eZ-Audit reporting capability with the IPM reporting capability.		New based on existing functionality	N/A	eZ-Audit
2.2.2.18		The solution shall absorb the eZ-Audit audit trail.		New based on existing functionality	N/A	eZ-Audit
2.2.2.19		The solution shall key off RID rather than OPEID.	This assumes that RID is implemented as part of IPM.	New	N/A	eZ-Audit
2.2.2.20		The solution shall import funding level data for Title IV Schools from Census.		New based on Release Planning Meeting	N/A	eZ-Audit
2.2.2.21		The solution shall provide a weekly file data feed of audit data to the OCFO (CARS solution).		New based on Release Planning Meeting	N/A	eZ-Audit
2.2.2.22		The solution shall integrate merger notifications in eAPP with case team functionality to improve the handling of mergers to better track what submissions are required.		New based on Release Planning Meeting	N/A	eZ-Audit
2.2.2.23		The solution shall display a notification/link to submit a Closeout audit to a propriety institution that is absorbed through a Merger.		New based on Release Planning Meeting	N/A	eZ-Audit
2.2.2.24		The solution shall update the change in ownership process to require the appropriate submissions to perform the analysis. For example, when the owner is new and not already tracked in the solution, two years of financial statements shall be required.		New based on Release Planning Meeting	N/A	eZ-Audit
2.2.2.25		The solution shall manage school groups and how change in ownership and mergers affect them automatically.	The current process involved manually updating school groups in PEPS. This should be automated as much as possible to ensure the proper submissions are required.	New based on Release Planning Meeting	N/A	eZ-Audit



eZ-Audit High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.2.26		The solution shall support a Corporate or State entity ID (does not have an OPEID) that has the ability to submit for a group.	This is likely handled by RID.	New based on Release Planning Meeting	N/A	eZ-Audit



Participation Management High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.2.3.1		The solution shall maintain a list of all eligible guaranty/lenders/Guaranty agencies (Trading Partners).		New based on existing functionality	N/A	Participation Mgt
2.2.3.2		The solution shall enable DPA to obtain destination points and TG#s.		New based on existing functionality	N/A	Participation Mgt
2.2.3.3		The solution shall administer TG#s for Trading Partners and internal users.		New based on existing functionality	N/A	Participation Mgt
2.2.3.4		The solution shall administer customer numbers.		New based on existing functionality	N/A	Participation Mgt
2.2.3.5		The solution shall connect TG#s to services.		New based on existing functionality	N/A	Participation Mgt
2.2.3.6		The solution shall trigger a TDCM mailbox request.		New based on existing functionality	N/A	Participation Mgt
2.2.3.7		The solution shall manage changes to enrollment services.		New based on existing functionality	N/A	Participation Mgt
2.2.3.8		The solution shall allow SAIG approval signature to be obtained and stored.		New based on existing functionality	N/A	Participation Mgt
2.2.3.9		The solution shall maintain a list of all eligible institutions/lenders/Guaranty agencies (Trading Partners).		New based on existing functionality	N/A	Participation Mgt
2.2.3.10		The solution shall update TG information in participation file and send to applications.		New based on existing functionality	N/A	Participation Mgt
2.2.3.11		The solution shall collect demographic information.		New based on existing functionality	N/A	Participation Mgt



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.1	Participation Management	The solution shall generate a RID when a new eAPP is submitted.	Functionality not in PEPS		New based on existing functionality	Non-Case Management Requirements	PEPS
2.2.4.2	Participation Management	The solution shall generate all other identifiers (i.e. OPEID, TG#) upon approval of an application.	Functionality partially done in PEPS	OPEID Currently done in PEPS. TG # is part of SAIG solution currently.	New based on existing functionality	N/A	PEPS
2.2.4.3	Participation Management	The solution shall populate all current data when a school logs on to eApp.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.4	Participation Management	The solution shall capture eApp changes as work items to be reviewed by FSA.	Functionality currently in PEPS	The solution should also restrict update access to trading partners or customer service where appropriate. For example, FSA employees should not update Financial Aid Administrator contact information, that should be the institutions responsibility to maintain	New based on existing functionality	N/A	PEPS
2.2.4.5	Participation Management	The solution shall record all decisions made based on eApp submissions / changes.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.6	Participation Management	The solution shall allow schools to update all relevant demographic data. The changes shall not take effect without FSA review.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.7	Participation Management	The solution shall capture all demographic information about an institution / entity.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.8	Participation Management	The solution shall ask all required questions currently on the eApp.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.9	Participation Management	The solution shall allow schools to apply for the Direct Loan program through the eApp.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.10	Participation Management	The solution shall allow the approval and start date for the DL program to be entered..	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.11	Participation Management	The solution shall provide an interface into Direct Loan program data by institution.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.12	Participation Management	The solution shall track all correspondence related to the direct loan program.	Functionality not in PEPS	Currently done in COD. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A	PEPS
2.2.4.13	Participation Management	The solution shall generate a PPA.	Functionality currently in PEPS	Currently done in PEPS. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A	PEPS
2.2.4.14	Participation Management	The solution shall generate a Eligibility and Certification Approval Report.	Functionality currently in PEPS	Currently done in PEPS. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A	PEPS
2.2.4.15	Participation Management	The solution shall maintain the data for schools eligible for the Direct Loan program.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.16	Participation Management	solution shall record changes to origination option changes, change in ownership, school closure, emergency actions, FFEL loss of eligibility, loss of accreditation, Merger/Consolidation, Terminations, withdrawal from Direct Loan program, and loss of Title.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.17	Participation Management	The solution shall accept experimental site applications.	Functionality not in PEPS	This can either be as part of the eApp or a stand-alone application	New based on existing functionality	N/A	PEPS
2.2.4.18	Participation Management	The solution shall track correspondence and decisions related to Experimental Site participants.	Functionality partially done in PEPS	This can either be as part of the eApp or a stand-alone application. This requirement would be enabled by the ERM / enterprise workflow tool selection.	New based on existing functionality	N/A	PEPS
2.2.4.19	Participation Management	The solution records date Institutional Response was received.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.20	Participation Management	The solution provides a list of all institutional applicants to Case Teams.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.21	Participation Management	The solution shall record Execution date (if school is selected).	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.22	Participation Management	The solution shall record date PPA Addendum is sent to institution.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.23	Participation Management	The solution shall record date PPA Addendum is received.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.24	Participation Management	The solution shall allow Case Team Member to input applicable waivers for the application.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.25	Default Management	The solution shall receive draft and official default rates.	Functionality currently in PEPS	Default rates data is calculated in NSLDS and sent to PEPS. PEPS then becomes the owner of the data and controls all changes (based on appeals).	New based on existing functionality	N/A	PEPS
2.2.4.26	Default Management	The solution shall perform letter assignment.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.27	Default Management	The solution shall allow manual adjustment of letter assignment.	Functionality partially done in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.28	Default Management	The solution shall capture appeal determinations.	Functionality not in PEPS	This is currently done in an Access database on the FSA LAN. This functionality could be moved to the IPM solution.	New based on existing functionality	N/A	PEPS
2.2.4.29	Default Management	The solution shall generate a press package.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.30	Default Management	The solution shall generate labels.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.31	Default Management	The solution shall allow official default information to be made available to other systems.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.32	Default Management	The solution shall customize letters to institutions based on the institution's official default rate.	Functionality partially done in PEPS	PEPS currently allows 4 types of letters: NC01 - no action NC02 - > 25% rate for 3 years NC03 - Extended Loss NC04 - school is currently > 40.1%	New based on existing functionality	N/A	PEPS
2.2.4.33	Default Management	The solution shall allow default rate changes for up to three years.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.34	Default Management	The solution shall send letters to institutions.	Functionality currently in PEPS	ECDR used for US schools, Fed Ex for International.	New based on existing functionality	N/A	PEPS
2.2.4.35	Default Management	The solution shall publish an aggregate Loan Record Detail Report.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.36	Default Management	The solution shall store draft, recalculated and final default rates.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.37	Default Management	The solution shall provide a reinstatement date when a school loses eligibility.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.38	Default Management	The solution shall publish prior year default corrections.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.39	Operations	The solution shall provide all required trading partner information to other FSA solution (i.e. have the same abilities as the current school file).	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A	PEPS
2.2.4.40	Operations	The solution shall provide an indicator of when the data for a particular trading partner was last updated.	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A	PEPS
2.2.4.41	Operations	The solution shall have the ability to provide trading partner demographic data to both internal FSA solution and external solutions as appropriate.	Functionality currently in PEPS	Currently done via School file	New based on existing functionality	N/A	PEPS
2.2.4.42	Operations	The solution shall track default rate data by institution as received from NSLDS.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.43	Operations	The solution shall provide the required interfaces to support all FSA systems. This may include real time access to data for some systems and batch file transfers for others.	Functionality partially done in PEPS	The delivery mechanism for the data could be a real-time interface, direct access, or a formatted message. The interface decisions shall be part of the data strategy effort.	New based on existing functionality	N/A	PEPS
2.2.4.44	Operations	The solution shall provide access to trading partner data to external parties via the Internet or some other public media.	Functionality currently in PEPS	The goal of the access would be to allow the third parties easier access to institution data. This could involve making school information a web service.	New based on existing functionality	N/A	PEPS
2.2.4.45	Schools Oversight	The solution shall record the reason for action.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.46	Schools Oversight	The solution shall allow Cash Monitoring status to be changed.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.47	Schools Oversight	The solution shall allow query for school and associated locations.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.48	Schools Oversight	The solution shall record verification correspondence between FSA and schools.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.49	Schools Oversight	The solution shall stop school eligibility for main location and sub location.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.50	Schools Oversight	The solution shall notify internal systems.	Functionality currently in PEPS		New based on existing functionality	N/A	PEPS
2.2.4.51	Operations	The solution shall have the ability to match OPEID/RID and IPEDS #'s and report any errors.	Functionality not in PEPS	Currently done manually by PEPS Staff	Meeting with PEPS staff	N/A	PEPS
2.2.4.52	Operations	The solution needs to support an automated way of updating Congressional District changes.	Functionality not in PEPS	Currently done manually by PEPS Staff	Meeting with PEPS staff	N/A	PEPS
2.2.4.53	Operations	The solution needs to support an automated update of area code changes by address.	Functionality not in PEPS		Meeting with PEPS staff	N/A	PEPS
2.2.4.54	Operations	The solution needs to support automatic updates of +4 zip codes.	Functionality not in PEPS		Meeting with PEPS staff	N/A	PEPS
2.2.4.55	Operations	The solution needs to have a way of validating e-mail addresses.	Functionality not in PEPS		Meeting with PEPS staff	N/A	PEPS
2.2.4.56	School and Financial Partner Oversight	The solution should store all default rate information (PELL, DL, Perkins, eCB, etc).	Functionality partially in PEPS	This would include automated data feeds from all solutions that perform the calculations. The goal would be to only store the data in one locations and to definitely only allow edits in one application.	Meeting with PEPS staff	N/A	PEPS
2.2.4.57	eAPP	The solution shall perform continuous matching of officials and debarment lists.	Functionality not in PEPS	Currently done by case teams	Meeting with PEPS staff	N/A	PEPS
2.2.4.58	eAPP	The solution shall perform analysis of some address related changes without requiring case intervention (i.e. zip code / street address changes with no change in City).	Functionality not in PEPS	Currently done by case teams	Meeting with PEPS staff	N/A	PEPS
2.2.4.59	Schools Oversight	The solution shall allow future dates for closures and integrate future work into the work management / workflow solution.	Functionality not in PEPS	The future dating would be a workflow trigger to take actions on a certain date, not a change of production data prior to the event.	Meeting with PEPS staff	N/A	PEPS
2.2.4.60	Participation Management	The solution shall have a single, consolidated set of contacts for a given trading partners. This shall eliminate the need for other solutions to store their own contact information.	Functionality partially in PEPS	The solutions that may currently store their own contact information include: COD, SAIG, Experimental Sites, DLCS, and Distance ED.	Meeting with PEPS staff	N/A	PEPS
2.2.4.61	Participation Management	The solution shall be the solution of record for all school and financial partner servicer demographic data.	Functionality partially in PEPS		Meeting with PEPS staff	N/A	PEPS
2.2.4.62	Operations	The solution shall create and manage the federal school codes.	Functionality currently in PEPS	Currently done in PEPS and included in the school file.	Meeting with PEPS staff	N/A	PEPS



PEPS High-Level Requirements

Integrated Partner Management Solution Requirements Gap Analysis Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Currently in PEPS?	Comments	Source	X-Ref	System / Business Process
2.2.4.63	Schools Oversight	The solution shall contain the plans for monitoring and assisting at risk schools and perform analysis to gauge the success of those plans.	Functionality not in PEPS		Meeting with PEPS staff	N/A	PEPS
2.2.4.64	Schools Oversight	The solution shall perform SSN matching for school officials and owners.	Functionality not in PEPS	This would likely require a Federal Register update to allow/mandate the storage of officials SSNs	Meeting with PEPS staff	N/A	PEPS
2.2.4.65	Participation Management	The solution shall track participation and the end of participation in the QA programs and relevant QA program data.	Functionality currently in PEPS	Data is used to track at risk schools	Meeting with PEPS staff	N/A	PEPS
2.2.4.66	Operations	The solution shall be able to import the LARS file and provide access to that data.	Functionality currently in PEPS	Currently done in PEPS	Meeting with PEPS staff	N/A	PEPS
2.2.4.67	Operations	The solution shall accept DR information from NSLDS.	Functionality currently in PEPS	Once received from NSLDS, PEPS becomes the solution of record for this data.	Meeting with PEPS staff	N/A	PEPS
2.2.4.68	Operations	The solution shall send DR changes back to NSLDS.	Functionality currently in PEPS	This is done to keep NSLDS up to date with the latest changes from appeals.	Meeting with PEPS staff	N/A	PEPS
2.2.4.69	Operations	The solution shall receive the LRDR/no-LRDR file.	Functionality currently in PEPS	LRDR - Loan Record Detail Reports	Meeting with PEPS staff	N/A	PEPS
2.2.4.70	Operations	All data transfers between IPM and other FSA systems shall go through EAI or some other FSA architecture standard.	Functionality partially in PEPS	No more FTP transfers.	Meeting with PEPS staff	N/A	PEPS



CPS High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.3.1.1	Interfacing Application	The Central Processing System (CPS) shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A	CPS
2.3.1.2	Interfacing Application	The Central Processing System (CPS) shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A	CPS
2.3.1.3	Interfacing Application	The Central Processing System (CPS) shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A	CPS



COD High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.3.2.1	Interfacing Application	The Common Origination and Disbursement (COD) system shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A	COD
2.3.2.2	Interfacing Application	The Common Origination and Disbursement (COD) system shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A	COD
2.3.2.3	Interfacing Application	The Common Origination and Disbursement (COD) system shall no longer be responsible for storing/maintaining the Direct Loan and Pell contact information or any other trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A	COD
2.3.2.4	Interfacing Application	The Common Origination and Disbursement (COD) system shall no longer be responsible for Common School ID (CSID)/Routing ID (RID) creation and/or maintenance.	The IPM solution will be responsible for Routing ID (RID) creation and maintenance.	New	N/A	COD



CSB High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.3.3.1	Interfacing Application	The Common Services for Borrowers (CSB) solution shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A	CSB
2.3.3.2	Interfacing Application	The Common Services for Borrowers (CSB) solution shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A	CSB
2.3.3.3	Interfacing Application	The Common Services for Borrowers (CSB) solution shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A	CSB



FMS High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.3.4.1	Interfacing Application	The Financial Management System (FMS) shall receive/obtain the information currently within the Daily School File from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A	FMS
2.3.4.2	Interfacing Application	The Financial Management System (FMS) shall eliminate the ability to edit and store the information currently within the Daily School File that is received/obtained from the system that is responsible for storing/maintaining this information.		New	N/A	FMS
2.3.4.3	Interfacing Application	The Financial Management System (FMS) shall no longer be responsible for storing/maintaining any trading partner contact information that it may store today.	The IPM solution will have a single, consolidated set of contacts for a given trading partner. This will eliminate the need for other systems to store their own contact information.	New	N/A	FMS



NSLDS High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.3.5.1	Interfacing Application	The National Student Loan Data System (NSLDS) shall receive/obtain the information currently utilized to perform the default rate calculations from the system that is responsible for storing/maintaining this information.	Depending on when the Common Data Architecture (CDA) is available there may be a need to continue to send the information in a file format. The goal for the future state is for this information to be stored within the CDA with the IPM responsible for maintaining this information.	New	N/A	NSLDS
2.3.5.2	Interfacing Application	The National Student Loan Data System (NSLDS) shall submit the cohort default rate calculations to the system that is responsible for storing this information on a twice yearly basis.		New	N/A	NSLDS



CSCC High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.4.1.1		The solution shall have the ability to track demographic and summary information for each call received.	Call information to be tracked should include Inquiry Tracking number, inquiry demographic and tracking information, program area, Question/Issue area, Status, and Assigned to.	New	N/A	CSCC
2.4.1.2		The solution shall provide the CSCC with a non-editable list of reason codes for calls.	This will enable easier reporting and categorization of calls.	New	N/A	CSCC
2.4.1.3		The solution shall provide the CSCC with the ability to search all calls by keyword.		New	N/A	CSCC
2.4.1.4		The solution shall utilize a document management system to enable emails and faxes to be imported.		New	N/A	CSCC
2.4.1.5		The solution shall enable the CSCC to automatically route a summary email to external SMEs for input (i.e., Publications, CAMS, etc.).	Summary information should include the call tracking number as well as the question/issue field.	New	N/A	CSCC
2.4.1.6		The solution shall utilize a workflow capability that enables cases to flow through the system.		New	N/A	CSCC
2.4.1.7		The solution shall pre-populate school information based on RID provided by the school.	The pre-populated information should be editable.	New	N/A	CSCC
2.4.1.8		The solution shall enable the CSCC to edit cases once entered in the system.		New	N/A	CSCC
2.4.1.9		The solution shall utilize a knowledge management capability that provides the CSCC with access to IFAP, policy sites, other FSA websites, etc.		New	N/A	CSCC
2.4.1.10		The solution shall utilize a workflow capability that allows CSCC managers to manage the queue and dynamically assign and re-assign cases.		New	N/A	CSCC
2.4.1.11		The solution shall utilize a workflow capability that tracks overdue tasks and escalates notices of overdue tasks to the appropriate supervisor.		New	N/A	CSCC
2.4.1.12		The solution shall utilize a workflow capability that enables individual work queues and provides alerts when tasks are pending or overdue.		New	N/A	CSCC



LMS High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req. #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.4.4.1	Interfacing Application	The solution shall enable users registering for FSA University courses through the LMS to sign on using the IPM interface.		New	N/A	LMS



OIG High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.4.5.1	Interfacing Application	The solution shall allow OIG audits to be saved and stored electronically.		New	N/A	OIG
2.4.5.2	Interfacing Application	The solution shall have a queuing mechanism for OIG audits to the case teams.		New	N/A	OIG
2.4.5.3	Interfacing Application	The solution shall provide OIG with the ability to state/post guidance for the case team on compliance with audit requirements.		New	N/A	OIG
2.4.5.4	Interfacing Application	The solution shall provide OIG with the ability to state/post findings of Quality Control Reviews.		New	N/A	OIG
2.4.5.5	Interfacing Application	The solution shall send OIG a list of institutions due for eligibility re-certification.		New	N/A	OIG



OPE High-Level Requirements

Integrated Partner Management Solution
Requirements Gap Analysis
Non-Case Management Requirements

Req #	Functional Area	Functional Requirement Description	Comments	Source	X-Ref	System / Business Process
2.4.6.1	Interfacing Application	The solution shall send outstanding audit liabilities to the Audit Accountability and Resolution Tracking System (AARTS) (formerly known as the Common Audit Resolution System (CARS)) of the Office of the Chief Financial Officer (OCFO).		New	N/A	OPE